



3 February 2016

Australian Securities and Investments Commission
Mr Oliver Harvey
Senior Executive, Financial Market Infrastructure
Level 5, 100 Market Street
SYDNEY NSW 2000

ASX Market Announcements Office
ASX Limited
20 Bridge Street
SYDNEY NSW 2000

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – JANUARY 2016

Attached is a copy of the ASX Compliance Monthly Activity Report for January 2016.

Amanda J. Harkness
Group General Counsel & Company Secretary

For personal use only



MARKET ANNOUNCEMENT

3 February 2016

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – JANUARY 2016

LISTINGS

Listed Entities	January 2016
Listed entities at month start	2,238
New listings	3
De-listings	31
Listed entities at month end	2,210

New listings for the month were Novatti Group Limited (NOV); Recce Limited (RCE); and Total Face Group Limited (TFG).

De-listings for the month were AAT Corporation Limited (AAT); Advanced Energy Systems Limited (AES); AED Oil Limited (AED); Air Change International Limited (AHJ); Ausmani Limited (ABF); Australian Zircon NL (AZC); Beauty Health Group Limited (BHG); Bounty Mining Limited (BNT); BrisConnections Holding Trust (BCS); BrisConnections Investment Trust (BCS); CB Australia Limited (CBK); Computronics Holdings Limited (CPS); Endeavour Mining Corporation (EVR); Fitgenes Limited (FIT); GRG International Limited (GRG); IDM International Limited (IDM); Indigo Properties Australia Limited (IPA); Indopac Holdings Limited (IDP); Land and Mineral Exploration Limited (LDM); Lemarne Corporation Limited (LMC); Metroland Australia Limited (MTD); Morning Star Gold NL (MCO); Phoenix Gold Limited (PXG); Plentex Limited (PRM); Reeltime Media Limited (RMA); Rivercity Motorway Holding Trust (RCY); Rivercity Motorway Investment Trust (RCY); Sofcom Limited (SOF); Solagran Limited (SLA); Telesso Technologies Limited (TEO); and Xiaoxiao Education Limited (XXL).

Key Listings Statistics	January 2016
Total company announcements	7,270
Price queries by ASX ¹	41

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.



Key Listings Statistics	January 2016
Other continuous disclosure queries by ASX ²	8
Aware letters sent by ASX ³	1
Announcements made following a price query	32
Trading halts at the listed entity's request	50
Trading halts following a query by ASX	2
Suspensions at the listed entity's request	13
Suspensions imposed by ASX for breach of the Listing Rules	1

PARTICIPANTS

ASX Participants ⁴	January 2016
Market/Clearing/Settlement Participants at month start	120
New admissions	0
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	January 2016
Trading/Clearing Participants at month start	54
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	54

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.

⁴ Figures exclude Special Settlement Participants set up to effect a specific corporate action as their participation is only temporary. The figures also exclude Austraclear Participants.



ENFORCEMENT

Referrals to ASIC ⁵	January 2016
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	January 2016
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 (excluding GST)	0

ASX RULE CHANGES, WAIVERS AND EXEMPTIONS

The definition of Approved Market Operator in the ASX Settlement Operating Rules Procedures was amended to reflect the change of name of Asia Pacific Stock Exchange Limited to Sydney Stock Exchange Limited.

Details of rule and guidance note changes can be accessed online at:

<http://www.asx.com.au/regulation/rules/recent-rule-amendments.htm>

There were 47 waivers granted in relation to the ASX Listing Rules and seven waivers in relation to the ASX Clear (Futures) 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.

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.