



3 March 2016

Australian Securities and Investments Commission
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ASX COMPLIANCE MONTHLY ACTIVITY REPORT – FEBRUARY 2016

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

Amanda J. Harkness
Group General Counsel & Company Secretary

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MARKET ANNOUNCEMENT

3 March 2016

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – FEBRUARY 2016

LISTINGS

Listed Entities	February 2016
Listed entities at month start	2,210
New listings	8
De-listings	9
Listed entities at month end	2,209

New listings for the month were APOLLO Series 2015-1 Trust (AOL), CYBG PLC (CYB), Ding Sheng Xin Finance Co. Limited (DXF), Global Fortune Investment Limited (GFI), Henry Morgan Limited (HML), iCandy Interactive Limited (ICI), Tesserent Limited (TNT) and Vectus Biosystems Limited (VBS).

De-listings for the month were Coffey International Limited (COF), Crusade Euro Trust No.1E OF 2006 (CTK), iProperty Group Limited (IPP), Mooter Media Limited (MMZ), M2 Group Ltd (MTU), Octagonal Resources Limited (ORS), SERIES 2007-1 Torrens Trust (TRQ), UXC Limited (UXC) and Veda Group Limited (VED).

Key Listings Statistics	February 2016
Total company announcements	10,676
Price queries by ASX ¹	15
Other continuous disclosure queries by ASX ²	23
Aware letters sent by ASX ³	14
Announcements made following a price query	11
Trading halts at the listed entity's request	99

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.

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Key Listings Statistics	February 2016
Trading halts following a query by ASX	8
Suspensions at the listed entity's request	22
Suspensions imposed by ASX for breach of the Listing Rules	0

PARTICIPANTS

ASX Participants ⁴	February 2016
Market/Clearing/Settlement Participants at month start	120
New admissions	0
Resignations and removals	1
Market/Clearing/Settlement Participants at month end	119

ASX 24 Participants	February 2016
Trading/Clearing Participants at month start	54
New admissions	1
Resignations and removals	1
Trading/Clearing Participants at month end	54

During the month of February, Phoenix Trading Group Pty Ltd was admitted as an ASX 24 Participant, AFS Capital Securities Limited resigned as an ASX Participant and Transmarket Trading Pty Ltd resigned as an ASX 24 Participant.

ENFORCEMENT

Referrals to ASIC ⁵	February 2016
Continuous disclosure referrals	2
Other referrals	1

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



Referrals to ASIC ⁵	February 2016
Total referrals to ASIC	3

Enforcement Matters	February 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

Minor amendments that would be of interest to product issuers were made to Schedule 10 (Warrants) of the ASX Operating Rules and Procedures. These changes, which came into effect on 1 February, impact warrant issuer approvals and application forms and also include a new requirement that a warrant must be a CS Approved Product.

The ASX OTC Handbook for ASX Clear (Futures) has been amended to set out the procedures for how an OTC Participant can use the new Margin Optimisation Service for portfolio margining of interest rate futures and swaps. These procedures took effect on 8 February.

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

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

There were 55 waivers granted in relation to the ASX Listing Rules, eight waivers granted in relation to the ASX Settlement Operating Rules and no waivers granted of the ASX Operating Rules, ASX Clear Operating Rules, ASX24 Operating Rules, ASX Clear (Futures) Operating Rules and 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.

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.