



ASX

CLEARING CORPORATION

**ASX Clearing Corporation
Notice**

Date: 31 May 2013

Key topics

1. Enforcement Activity

Reading List

Compliance Managers
Office Managers
Operations Managers (back
office)

Authorised by

Kevin Lewis

Contact

Ben Wachter
(02) 9227 0671

ASX Clear Pty Limited
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Internet: <http://www.asx.com.au>

No responsibility is accepted for any inaccuracies contained in the matter published.

ASX CLEARING CORPORATION PARTICIPANT NOTICE

ASX COMPLIANCE ENFORCEMENT ACTIVITY

Under the Corporations Act, as a licensed operator of financial markets, ASX is obliged to have adequate arrangements for monitoring and enforcing compliance with the operating rules of those markets. It is also obliged, as a licensed operator of clearing and settlement facilities, to have adequate arrangements for supervising those facilities and for enforcing compliance with their operating rules.

The purpose of this circular is to notify participants in those markets and facilities of some of the enforcement activities recently undertaken by ASX Compliance, so that they are aware of potential areas of concern for ASX and of ASX's enforcement activities in those areas.

This circular covers enforcement activities for the 3 month period ended 31 May 2013.

1. Breach of "exchange for physical" requirements

An ASX 24 participant was fined a total of \$40,000 plus GST by the ASX Chief Compliance Officer for contraventions of ASX 24 Operating Rules 4800, 4801(a), 4801(c), and 4803 relating to "exchange for physical" (EFP) transactions.

Further details of the matter can be found in ASX 24 Notice No. 045/13 dated 8 March 2013, available online at:

http://www.sfe.com.au/content/notices/2013/notice2013_045.pdf

2. Unauthorised disclosure of HINs/SRNs

ASX issued a formal warning letter to an issuer for apparent breaches of ASX Settlement Rules 8.11.1(a) and (c) and ASX Listing Rule 8.1 for the unauthorised disclosure of shareholder HINs and SRNs. The disclosure occurred as a result of an error in the positioning of shareholder contact details in the windows of envelopes mailing out a notice of annual general meeting, personalised proxy forms and other documents to shareholders. Shareholder HINs/SRNs were apparently visible through the envelope windows.

ASX decided to take no further action against the issuer, given the absence of any evidence that shareholder HINs/SRNs had in fact been compromised and any complaints to ASX about the incident.

Kevin Lewis
Chief Compliance Officer



ASX 24 NOTICE NO. 099/13

Date of Issue: 31 May 2013

Effective Date: 31 May 2013

ASX Clear (Futures) ASX Compliance Enforcement Activity

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Kevin Lewis
Chief Compliance Officer
ASX Limited
20 Bridge St
Sydney NSW 2000



ASX 24 NOTICE NO. 100/13

Date of Issue: 31 May 2013
Effective Date: 31 May 2013

ASX 24 - ASX Compliance Enforcement Activity

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Kevin Lewis
Chief Compliance Officer
ASX Limited
20 Bridge St
Sydney NSW 2000



ASX Settlement Corporation Bulletin

Date: 31 May 2013

Key topics

1. Enforcement Activity

Reading List

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Office Managers
Operations Managers (back
office)

Authorised by

Kevin Lewis

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PARTICIPANT BULLETIN

ASX COMPLIANCE ENFORCEMENT ACTIVITY

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Kevin Lewis
Chief Compliance Officer



ASX

AUSTRALIAN SECURITIES EXCHANGE

ASX Circular

Date: 31 May 2013

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