



## MARKET ANNOUNCEMENT

5 February 2013

### ASX Compliance Monthly Activity Report – January 2013

#### Listings

Listed Entities	January 2013
Listed entities at month start	2,188
New listings	11
De-listings	16
Listed entities at month end	2,183

New listings for the month were Asia Pacific Data Centre Trust (AJD), Asia Pacific Data Centre Holdings Limited (AJD), Cott Oil and Gas Limited (CMT), Crusade ABS Series 2012-1 Trust (CRI), Ecosave Holdings Limited (ECV), Indoor Skydive Australia Group Limited (IDZ), Marengo Mining Canada Limited (to be renamed Marengo Mining Limited) (MMC), MGT Resources Limited (MGS), Oilfield Workforce Group Limited (OFW), Shinhan Bank (SHB) and Zeus Resources Limited (ZEU).

De-listings for the month were Acer Energy Limited (ACN), Alesco Corporation Limited (ALS), Australian Masters Corporate Bond Fund No.4 Limited (AKX), CNPR Limited (CNP), CNPR Trust (CNP), Coventry Resources Limited (CVY), Exco Resources Limited (EXS), HDUF Epic Trust (HDF), HDUF Finance Trust (HDF), HDUF Further Investments Trust (HDF), Integra Mining Limited (IGR), Marengo Mining Limited (MGO), MCM Entertainment Group Limited (MEG), Ocean Capital Limited (OCE), Premium Investors Limited (PRV) and Series 2008-1E REDS EHP Trust (REI).

Key Listings Statistics	January 2013
Total company announcements	7,876
Price queries by ASX <sup>1</sup>	31
Other continuous disclosure queries by ASX <sup>2</sup>	15
Aware letters sent by ASX <sup>3</sup>	3
Announcements made following a price query	19
Trading halts at the listed entity's request	60

<sup>1</sup> 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.

<sup>2</sup> 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.

<sup>3</sup> 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	January 2013
Trading halts following a query by ASX	1
Suspensions at the listed entity's request	12
Suspensions imposed by ASX for breach of the Listing Rules	1

## Participants

ASX Participants <sup>4</sup>	January 2013
Market/Clearing/Settlement Participants at month start	129
New admissions	0
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	129

ASX 24 Participants	January 2013
Trading/Clearing Participants at month start	49
New admissions	1
Resignations and removals	1
Trading/Clearing Participants at month end	49

During the month of January, Aardvark Trading LLC was admitted as an ASX 24 Participant and The Royal Bank of Scotland Plc resigned as an ASX 24 Participant.

## Enforcement

Referrals to ASIC <sup>5</sup>	January 2013
Continuous disclosure referrals	0
Other referrals	1
Total referrals to ASIC	1

Enforcement Matters	January 2013
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

<sup>4</sup> Figures exclude Special Settlement Participants set up to effect a specific corporate action as their participation is only temporary.

<sup>5</sup> 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.

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of previous Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

### **ASX Rule Changes, Waivers and Exemptions**

As a result of the expiry of ASIC Class Rule Waiver 11/1103 on 31 December 2012, a number of special crossings which are no longer permitted under the ASIC Market Integrity Rules (Competition in Exchange Markets) were deleted from ASX Operating Rule Procedures 3500 and 4810. The relevant trade reports have also been disabled.

A number of ASX Operating Rule Procedures were amended to facilitate the three-month trial of intraday auctions for selected equity securities outside the S&P/ASX 300. In particular, the amendments acknowledge that the Extreme Trade Range (ETR) Reference Price for each relevant security will be reset by the price established during the intraday auction or by the opening transaction post the intraday auction.

Procedure 2500 (Daily Settlement Price) of the ASX 24 Operating Rules was amended to introduce a specified tick range into the daily settlement price process where the daily settlement price is the mid-point between the final bid and final ask. The use of a specified tick range will ensure daily settlement prices (which are also final settlement prices in certain contracts) are not impacted by very wide spreads. Consequential changes were made to Procedures 4402 (Strategy Orders) and 4403 (Custom Market Orders) to align the specified tick range prices with those set out in Procedure 2500.

The stapled securities of Astro Japan Property Group (ASX Code: AJA) were included as a FOR Financial Product<sup>6</sup> under the ASX Settlement Operating Rules.

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

There were 62 waivers granted in relation to the ASX Listing Rules and two waivers for each of the ASX 24 Operating Rules and the ASX Settlement 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.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.

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<sup>6</sup> FOR Financial Products means a class of Approved Financial Products included in Schedule 1 that are subject to aggregate foreign ownership restrictions pursuant to legislation or under the Issuer's constitution.