



## MARKET ANNOUNCEMENT

6 December 2010

### ASX Compliance Monthly Activity Report – November 2010

#### Listings

| Listings                       | November 2010 |
|--------------------------------|---------------|
| Listed entities at month start | 2,192         |
| New listings                   | 10            |
| De-listings                    | 5             |
| Listed entities at month end   | 2,197         |

Average monthly new listings for FY11 year-to-date stand at 10 (compared to 8 listings per month on average for the whole of FY10).

The 10 new listings for the month were Brazlron Limited (BZL), China Magnesium Corporation Limited (CMC), Kula Gold Limited (KGD), Orrex Resources Ltd (ORX), Paynes Find Gold Limited (PNE), Predictive Discovery Limited (PDI), QR National Limited (QRN), St George Mining Limited (SGO), Southern Crown Resources Limited (SWR) and Sovereign Gold Company Limited (SOC).

The 5 de-listings for the month were Ammtec Limited (AEC), Asciano Finance Trust (AIO), Centennial Coal Company Limited (CEY), Constellation Brands Inc (CBR) and Mitchell Communication Group Limited (MCU).

| Key Listing Statistics                                 | November 2010 |
|--|---------------|
| Total company announcements                            | 12,388        |
| Continuous disclosure queries made by ASX <sup>1</sup> | 48            |
| Price queries <sup>2</sup> by ASX                      | 83            |
| Aware letters <sup>3</sup> sent by ASX                 | 3             |
| Announcements made following a price query             | 61            |
| Trading halts at the issuer's request                  | 154           |
| Trading halts following a price query by ASX           | 10            |

<sup>1</sup> Excluding price queries.

<sup>2</sup> Price queries are enquiries made by ASX (either by letter or verbally) to a listed entity if it detects unusual movements in the 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>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 Listing Statistics                                     | November 2010 |
|--|---------------|
| Suspensions at the issuer's request                        | 11            |
| Suspensions imposed by ASX for breach of the Listing Rules | 4             |

## Participants

| ASX Participants   | November 2010 |
|--|---------------|
| Trading/Clearing/Settlement Participants at month start <sup>4</sup> | 176           |
| New admissions   | 0             |
| Resignations and removals  | 1             |
| Market/Clearing/ Settlement Participants at month end <sup>5</sup>   | 175           |

Westpac Securities Limited resigned as an ASX Market Participant, ASX Clear Participant and ASX Settlement Participant.

| ASX 24 Participants                          | November 2010 |
|--|---------------|
| Trading/Clearing Participants at month start | 41            |
| New admissions                               | 1             |
| Resignations and removals                    | 0             |
| Trading/Clearing Participants at month end   | 42            |

GFIN Pty Ltd was admitted as a Trading Participant (Principal Trader).

## Enforcement

| Referrals to ASIC <sup>6</sup>  | November 2010 |
|---------------------------------|---------------|
| Continuous disclosure referrals | 1             |
| Other referrals                 | 1             |
| Total referrals to ASIC         | 2             |

<sup>4</sup> Does not include any Special Settlement Participants as participation is temporary.

<sup>5</sup> Does not include any Special Settlement Participants as participation is temporary.

<sup>6</sup> ASX is required, under section 792B(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.

| Pre 1 August 2010 Enforcement Matters <sup>7</sup> | November 2010 |
|--|---------------|
| Open ASX enforcement matters at month start        | 22            |
| New enforcement matters commenced during the month | 3             |
| Enforcement matters concluded during the month     | 2             |
| Open ASX enforcement matters at month end          | 23            |
| Fines imposed during the month (excl GST)          | \$20,000      |

Three new enforcement matters commenced during the month. Two of the matters were in respect of various alleged breaches of the SFE Operating rules that occurred prior to 1 August 2010. The other matter related to an alleged breach of ASX Market Rules. To date there have been no enforcement matters commenced in respect of potential contraventions of the ASX and ASX 24 Operating Rules that may have occurred after 1 August 2010.

One Circular was released by the ASX Disciplinary Tribunal during the month. Copies of the Disciplinary Circulars are available online at: <http://www.asx.com.au/asx/research/disciplinaryAnnouncements.do?by=all>.

### ASX Rule Changes, Waivers and Exemptions

During the period there were several changes to the ASX Operating Rules Procedures and Appendices that came into effect to support the functionality introduced with ASX Trade. Further details on recent ASX Rule changes can be accessed online at: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>

There were 43 waivers from the ASX Listing Rules granted during the month. Details of those waivers and exemptions can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX Group website: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

### Education and Research Program

The ASX Corporate Governance Roadshow was held in Perth and Adelaide at the beginning of November.

ASX made a presentation on the ASX Corporate Governance Council's diversity measures at the Global Roundtable on Board Diversity hosted jointly by the World Bank Group's International Finance Corporation and Corporate Women Directors International.

As part of the Education and Research Program, Capital Monitoring conducted a series of Capital Monitoring Workshops in Perth, Adelaide, Melbourne and Sydney. The workshops were designed to promote the importance of the capital monitoring obligations and, through interactive participation, reinforce the application of the relevant ASX Operating Rules.

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<sup>7</sup> Prior to 1 August 2010, ASX was responsible for supervising the ASX and ASX 24 markets and their participants and for monitoring and enforcing compliance with the market rules for those markets. The responsibility for supervising the ASX and ASX 24 markets and their participants was transferred from ASX to ASIC on 1 August 2010 pursuant to the Corporations Amendment (Financial Market Supervision) Act 2010, and the market rules for the ASX and ASX 24 markets were effectively split into market integrity rules administered by ASIC and Operating Rules administered by ASX. However, ASX remains responsible for enforcing any breaches of the former market rules that occurred prior to 1 August 2010.