



## MARKET ANNOUNCEMENT

5 March 2013

### ASX Compliance Monthly Activity Report – February 2013

#### Listings

Listed Entities	February 2013
Listed entities at month start	2,183
New listings	4
De-listings	6
Listed entities at month end	2,181

New listings for the month were China Integrated Media Corporation Limited (CIK), NAOS Emerging Opportunities Company Limited (NCC), Perpetual Resources Limited (PEC) and Talon Petroleum Limited (TPD).

De-listings for the month were Bowen Energy Limited (BWN), CGA Mining Limited (CGX), Cortona Resources Limited (CRC), Hire Intelligence International Limited (HII), L&M Energy Limited (LME) and 3Q Holdings Limited (TQH).

Key Listings Statistics	February 2013
Total company announcements	9,286
Price queries by ASX <sup>1</sup>	25
Other continuous disclosure queries by ASX <sup>2</sup>	15
Aware letters sent by ASX <sup>3</sup>	1
Announcements made following a price query	19
Trading halts at the listed entity's request	85
Trading halts following a query by ASX	1
Suspensions at the listed entity's request	29
Suspensions imposed by ASX for breach of the Listing Rules	4

<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.

## Participants

ASX Participants <sup>4</sup>	February 2013
Market/Clearing/Settlement Participants at month start	129
New admissions	0
Resignations and removals	3
Market/Clearing/ Settlement Participants at month end	126

ASX 24 Participants	February 2013
Trading/Clearing Participants at month start	49
New admissions	1
Resignations and removals	2
Trading/Clearing Participants at month end	48

During the month of February, SPIRE X Trading LLC was admitted as an ASX 24 Trading Participant. MF Global Australia Limited, MF Global Securities Australia Limited and Nomura Australia Limited resigned as ASX Participants, while MF Global Australia and MF Global UK resigned as ASX 24 Participants.<sup>5</sup>

## Enforcement

Referrals to ASIC <sup>6</sup>	February 2013
Continuous disclosure referrals	0
Other referrals	2
Total referrals to ASIC	2

Enforcement Matters	February 2013
Open ASX enforcement matters at month start	1
New enforcement matters commenced during the month	2
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	3
Fines imposed during the month (excl GST)	\$40,000 <sup>7</sup>

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>.

<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> MF Global Participant entities held participations in ASX, ASX Clear, ASX Settlement, ASX 24, ASX Clear (Futures) and Austraclear.

<sup>6</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.

<sup>7</sup> The Enforcement Notice relating to this fine was issued on 7 February and the appeal period expires on 7 March 2013. A notice to the market about the matter will be published upon the expiry of the appeal period.

## ASX Rule Changes, Waivers and Exemptions

There were no new rule amendments in February. Details of previous rule changes can be accessed online at: <http://www.asxgroup.com.au/recent-rule-amendments.htm>.

Thirty-eight waivers were granted in relation to the ASX Listing Rules, 10 waivers in relation to ASX Settlement Rules and one waiver in relation to ASX 24 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.