



MARKET ANNOUNCEMENT

6 January 2012

ASX Compliance Monthly Activity Report – December 2011

Listings

Listed Entities	December 2011
Listed entities at month start	2,227
New listings	12
De-listings	17
Listed entities at month end	2,222

New listings for the month were Alliance Aviation Services Limited (AOZ), Ambassador Oil & Gas Limited (AOG), Centro Australia Wholesale Fund (CRF), Centro DPF Holding Trust (CRF), Endeavour Mining Corporation (EVR), FeOre Limited (FEO), Goldphyre Resources Limited (GPH), Kina Petroleum Limited (KPL), Kumarina Resources Limited (KMR), Precious Metal Resources Limited (PMR), Titan Energy Services Limited (TTN) and Trade Me Group Limited (TME).

De-listings for the month were Adamus Resources Limited (ADU), Adelaide Managed Funds Asset Backed Yield Trust (AYT), Australian Masters Corporate Bond Fund No.3 Limited (AKU), Coal & Allied Industries Limited (CAN), Count Financial Limited (COU), CVI Energy Corporation Limited (CVI), Foster's Group Limited (FGL), Interra Resources Limited (ITR), Macarthur Coal Limited (MCC), MAp Airports International Limited (MAP), Meridian Minerals Limited (MII), National Hire Group Limited (NHR), NRW.Bank (NRW), Scottish Power UK PLC (SCK), Staging Connections Group Limited (STG), The Rock Building Society Limited (ROK) and Villa World Trust (VLW).

Key Listings Statistics	December 2011
Total company announcements	9,473
Price queries ¹ by ASX	26
Other continuous disclosure queries by ASX ²	36
Aware letters ³ sent by ASX	2
Announcements made following a price query	23
Trading halts at the listed entity's request	73

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.

Key Listings Statistics	December 2011
Trading halts following a query by ASX	3
Suspensions at the listed entity's request	10
Suspensions imposed by ASX for breach of the Listing Rules	1

Participants

ASX Participants ⁴	December 2011
Market/Clearing/Settlement Participants at month start	135
New admissions	1
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	134

ASX 24 Participants	December 2011
Trading/Clearing Participants at month start	47
New admissions	1
Resignations and removals	1
Trading/Clearing Participants at month end	47

During the month of December:

- AET Structured Finance Services Pty Limited was admitted as an ASX Settlement (General) Participant.
- Brahman Pure Alpha Pte Ltd was admitted as an ASX 24 Participant.
- Australian Executor Trustees (NSW) Limited and Merrill Lynch (Australia) Nominees Pty Ltd both resigned as ASX Participants.
- Brahman Securities Pty Limited resigned as an ASX Trade24 Trading Participant.

Enforcement

Referrals to ASIC ⁵	December 2011
Continuous disclosure referrals	1
Other referrals	1
Total referrals to ASIC	2

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 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 ⁶	December 2011
Open ASX enforcement matters at month start	5
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	4
Fines imposed during the month (excl GST)	\$50,000

To date there have been no enforcement matters commenced in respect of potential contraventions of the ASX and ASX 24 Operating Rules occurring after 1 August 2010.

One Disciplinary Circular was released by the ASX Disciplinary Tribunal during the month. A copy of the Circular is available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

ASX Rule Changes, Waivers and Exemptions

From 1 December 2011, ASX Operating Rule changes to permit different trading hours came into effect to facilitate the trading of BetaShares Agriculture ETF – Currency Hedged (synthetic) (ASX code: QAG). This fund has been admitted under different trading hour conditions compared to other ETFs and during NSW daylight savings periods commences trading from 11:00am each day instead of 10:00am (remaining in pre-open until 11:00am). Normal trading hours will apply outside of NSW daylight savings periods.

Changes to reflect the transfer of capital requirements for non-clearing ASX and ASX 24 participants to ASIC on 1 August 2011 as well as other updates were made to the ASX Clear and ASX Clear (Futures) Operating Rule Procedures. Specifically, changes were made to the pro-forma audit report (Annexure 4.4.3 -1) and key risks and internal systems statement (Annexure 4.4.3 -2) in the ASX Clear Operating Rule procedures, as well as the pro-forma audit report and Director's Declarations set out in Rule 4.14 of the ASX Clear (Futures) Operating Rule Procedures. These changes will be effective for all ASX Clear and ASX Clear (Futures) participants with a year end of 31 December 2011 and onwards.

Details of these changes can be accessed online at: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>

A total of 49 waivers were granted in respect of the ASX Listing Rules and two waivers were granted in respect of any other rules of the ASX Group during the month. ASX rule books and exemptions can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX website <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

⁶ 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.