



MARKET ANNOUNCEMENT

6 March 2012

ASX Compliance Monthly Activity Report – February 2012

Listings

Listed Entities	February 2012
Listed entities at month start	2,221
New listings	8
De-listings	3
Listed entities at month end	2,226

New listings for the month were Abacus Storage Operations Limited (ABP); Abacus Storage Property Trust (ABP); Bella Trust Series 2011-3 (BNJ); Goodrich Resources Ltd (GRX); Highfield Resources Limited (HFR); National RMBS Trust 2011-2 (NAO); Pura Vida Energy NL (PVD); Taruga Gold Limited (TAR).

De-listings for the month were Laguna Resources NL (LRC); SMART Series 2007-1 Trust (SMF) and SMART Series 2007-2 Trust (SMV).

Key Listings Statistics	February 2012
Total company announcements	10,395
Price queries ¹ by ASX	49
Other continuous disclosure queries by ASX ²	47
Aware letters ³ sent by ASX	4
Announcements made following a price query	11
Trading halts at the listed entity's request	117
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	11
Suspensions imposed by ASX for breach of the Listing Rules	4

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.

Participants

ASX Participants ⁴	February 2012
Market/Clearing/Settlement Participants at month start	134
New admissions	0
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	134

ASX 24 Participants	February 2012
Trading/Clearing Participants at month start	47
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	47

Enforcement

Referrals to ASIC ⁵	February 2012
Continuous disclosure referrals	3
Other referrals	1
Total referrals to ASIC	4

Pre 1 August 2010 Enforcement Matters ⁶	February 2012
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)	Nil

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.

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>.

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.

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.

ASX Rule Changes, Waivers and Exemptions

New amendments to ASX Operating Rule Procedures 3200, 3210 and 3260 and ASX 24 Operating Rule Procedures 3200 and 3210 with respect to the cancellation of trades came into effect on 27 February 2012. In the case of the ASX Operating Rules Procedures, these amendments include:

- when Participants must report trades to ASX;
- when Participants can self-cancel trades;
- the ECR (eligible cancellation range) parameters for ETOs and LEPOs;
- the exceptions to cancellations;
- cancellation fees; and
- a reduction in the minimum time of the Regulatory Halt Session State.

The ASX 24 Operating Rules and Procedures were also amended on 27 February 2012 to support the introduction of the ASX 3 Month Overnight Index Swap Futures contract.

A technical amendment was made to ASX Operating Rule Procedure 4070 on 20 February 2012 to reflect the existing practice of carrying over the unmatched orders in respect of ETF Securities and Managed Fund Products in ASX TradeMatch at the end of each Trading Day.

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

There were 38 waivers granted in relation to the ASX Listing Rules and six waivers in relation to the ASX Settlement 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.

Finally, a new Listing Rule Guidance Note 9 *Disclosure of Corporate Governance Practices* was issued on 10 February 2012.