



MARKET ANNOUNCEMENT

5 April 2013

ASX Compliance Monthly Activity Report – March 2013

Listings

Listed Entities	March 2013
Listed entities at month start	2,181
New listings	6
De-listings	3
Listed entities at month end	2,184

New listings for the month were Lion Selection Group Limited (LSX), Malabar Coal Limited (MBC), National RMBS Trust 2012-2 Series 2012-2 (NAH), Series 2012-1E REDS Trust (RFB), Strata-X Energy Limited (SXA) and TORRENS Series 2013-1 Trust (TNB).

De-listings for the month were CL Asset Holdings Limited (CLS), Magellan Petroleum Corporation (MGN) and Texon Petroleum Ltd (TXN).

Key Listings Statistics	March 2013
Total company announcements	9,028
Price queries by ASX ¹	29
Other continuous disclosure queries by ASX ²	26
Aware letters sent by ASX ³	2
Announcements made following a price query	20
Trading halts at the listed entity's request	121
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	23
Suspensions imposed by ASX for breach of the Listing Rules	16

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	March 2013
Market/Clearing/Settlement Participants at month start	126
New admissions	0
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	125

ASX 24 Participants	March 2013
Trading/Clearing Participants at month start	48
New admissions	0
Resignations and removals	3
Trading/Clearing Participants at month end	45

During the month, Margin Lending Nominees Pty Limited resigned as an ASX Settlement Participant. Biskra Aotearoa Limited, Rouge Homme Futures Pty Limited and SJL Hindsight Securities Pty Limited resigned as ASX 24 Trading Participants.

Enforcement

Referrals to ASIC ⁵	March 2013
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	March 2013
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	Nil

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month.

ASX Rule Changes, Waivers and Exemptions

During the month, ASX released a document entitled *Review of ASX Listing Rules Guidance Note 8: Consultation Response*, together with final versions of Listing Rule Guidance Note 8: *Continuous Disclosure: Listing Rules 3.1 – 3.1B*, ASX's shorter guide *Continuous Disclosure: An Abridged Guide* and its package of

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.

disclosure-related amendments to the ASX Listing Rules. The documents released also included updated versions of the following Listing Rule Guidance Notes:

- Guidance Note 1 *Applying for Admission – ASX Listings*;
- Guidance Note 4 *Foreign Entities Listing on ASX*;
- Guidance Note 12 *Significant Changes to Activities*;
- Guidance Note 16 *Trading Halts and Voluntary Suspensions*; and
- Guidance Note 17 *Waivers and In-Principle Advice*.

ASX's press release, which has links to all of these documents, is available at:

http://www.asxgroup.com.au/media/PDFs/GN_8_Press_Release.pdf.

A number of terminology changes were made to the ASX Listing Rules, ASX Operating Rules and ASX Settlement Rules. Changes were also made to the trade cancellation and anomalous order threshold rules in the ASX Operating Rules and to the trade cancellation and daily settlement range rules in the ASX 24 Operating Rules. Details of these rule changes can be accessed online at: <http://www.asxgroup.com.au/recent-rule-amendments.htm>.

There were 76 waivers granted in relation to the ASX Listing Rules, two waivers in relation to ASX Settlement Rules and one waiver in relation to ASX 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.