



## MARKET ANNOUNCEMENT

5 September 2012

### ASX Compliance Monthly Activity Report – August 2012

#### Listings

Listed Entities	August 2012
Listed entities at month start	2,205
New listings	3
De-listings	16
Listed entities at month end	2,192

New listings for the month were Calibre Group Limited (CGH), Goodman Logistics (HK) Limited (GMG) and US Select Private Opportunities Fund (USF).

De-listings for the month were Asian Pacific Limited (AAS), China Steel Australia Limited (CNH), Coalworks Limited (CWK), Consolidated Capital Investments Limited (CNC), CP1 Limited (CPK), Eldorado Gold Corporation (EAU), Eureka Energy Limited (EKA), HZ Lim Limited (HZL), National Leisure and Gaming Limited (NLG), One North Entertainment Limited (ONL), Prime Retirement and Aged Care Property Trust (PTN), Quay Magnesium Limited (QMG), RCL Group Limited (RLG), RCL Group Trust (RLG), Spotless Group Limited (SPT) and Zheng He Global Capital Limited (ZHE)

Key Listings Statistics	August 2012
Total company announcements	10,710
Price queries by ASX <sup>1</sup>	36
Other continuous disclosure queries by ASX <sup>2</sup>	31
Aware letters sent by ASX <sup>3</sup>	5
Announcements made following a price query	26
Trading halts at the listed entity's request	117
Trading halts following a query by ASX	6
Suspensions at the listed entity's request	3

<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.

<b>Key Listings Statistics</b>	<b>August 2012</b>
Suspensions imposed by ASX for breach of the Listing Rules	3

## Participants

<b>ASX Participants<sup>4</sup></b>	<b>August 2012</b>
Market/Clearing/Settlement Participants at month start	131
New admissions	1
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	132

<b>ASX 24 Participants</b>	<b>August 2012</b>
Trading/Clearing Participants at month start	46
New admissions	2
Resignations and removals	0
Trading/Clearing Participants at month end	48

During the month RBS Securities (Australia) Limited was admitted as an ASX Participant, and Halifax Investment Services Limited and Vivienne Court Trading Pty Ltd were admitted as ASX 24 Participants.

## Enforcement

<b>Referrals to ASIC<sup>5</sup></b>	<b>August 2012</b>
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

<b>Enforcement Matters</b>	<b>August 2012</b>
Open ASX enforcement matters at month start	3
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	3
Fines imposed during the month (excl GST)	Nil

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. However, ASX did publish a circular to market participants outlining some of its enforcement activities for the quarter. A copy of that circular is available online at: [https://www.asxonline.com/intradoc-cgi/groups/participant\\_services/documents/communications/asx\\_034609.pdf](https://www.asxonline.com/intradoc-cgi/groups/participant_services/documents/communications/asx_034609.pdf).

<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> 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.

## **ASX Rule Changes, Waivers and Exemptions**

Listing rule 7.1A has been introduced, with effect from 1 August 2012, to provide eligible small to mid-cap listed entities with the ability to seek security holder approval to issue an additional 10% of their ordinary capital by way of placement. Approval must be sought from ordinary security holders by special resolution at the annual general meeting (AGM). The approval will be valid for 12 months from the date of the AGM.

In addition, condition 7 of listing rule 1.1 has been amended to provide three alternative spread tests under which an applicant entity may apply for admission. Listing rule 1.3.1 has also been amended to increase the NTA test from \$2 million to \$3 million for applicant entities seeking admission under the assets test. These amendments come into effect on 1 November 2012, to allow a three-month transitional period for entities in the process of applying for admission.

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

There were 43 waivers granted in relation to the ASX Listing Rules and one waiver granted in relation to the ASX Settlement 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.