



## MARKET ANNOUNCEMENT

5 April 2012

### ASX Compliance Monthly Activity Report – March 2012

#### Listings

Listed Entities	March 2012
Listed entities at month start	2,225 <sup>1</sup>
New listings	4
De-listings	6
Listed entities at month end	2,223

New listings for the month were Bullabulling Gold Limited (BAB); Colonial Holding Company Limited (CNG); Indus Coal Limited (ICZ) and Spencer Resources Limited (SPA).

De-listings for the month were African Iron Limited (AKI); Anvil Mining Limited (AVM); GGG Resources PLC (GGB); MSF Sugar Limited (MSF); oOh!media Group Limited (OOH) and Razor Risk Technologies Limited (RZR).

Key Listings Statistics	March 2012
Total company announcements	10,332
Price queries <sup>2</sup> by ASX	32
Other continuous disclosure queries by ASX <sup>3</sup>	48
Aware letters <sup>4</sup> sent by ASX	2
Announcements made following a price query	26
Trading halts at the listed entity's request	96
Trading halts following a query by ASX	2
Suspensions at the listed entity's request	15
Suspensions imposed by ASX for breach of the Listing Rules	6

<sup>1</sup> This number has been adjusted, as compared to last month's report, to reflect the delisting of a retail debt issue that occurred in a previous period.

<sup>2</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>3</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>4</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>5</sup>	March 2012
Market/Clearing/Settlement Participants at month start	134
New admissions	2
Resignations and removals	1
Market/Clearing/ Settlement Participants at month end	135

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

During the month, BNP Paribas Securities Services was admitted as an ASX Settlement Participant on 14 March and GMP Securities Australia Pty Limited as an ASX Market Participant on 27 March. Daiwa Capital Markets Stockbroking Limited resigned as an ASX Participant on 30 March.

## Enforcement

Referrals to ASIC <sup>6</sup>	March 2012
Continuous disclosure referrals	2
Other referrals	2
Total referrals to ASIC	4

Pre 1 August 2010 Enforcement Matters <sup>7</sup>	March 2012
Open ASX enforcement matters at month start	1
New enforcement matters commenced during the month	1
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	Nil

<sup>5</sup> Figures exclude Special Settlement Participants set up to effect a specific corporate action as their participation is only temporary.

<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> 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.

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>.

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

In accordance with ASX 24 Operating Rule 6.2.6, ASX updated the Settlement Lists for the 3 and 10 Year Treasury Bond Futures and the NZ 3 and 10 Year Government Stock Futures contracts. The lists have been updated to remove RBS Group (Australia) Pty Limited and Royal Bank of Scotland plc as settlement price providers as they no longer act as interdealer price makers in Australian and NZ government bonds.

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

There were 41 waivers granted in relation to the ASX Listing Rules and 2 waivers of the 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.