



## MARKET ANNOUNCEMENT

4 July 2013

### ASX Compliance Monthly Activity Report – June 2013

#### Listings

Listed Entities	June 2013
Listed entities at month start	2,186
New listings	8
De-listings	9
Listed entities at month end	2,185

New listings for the month were Arena REIT (ARF), Bathurst Resources (New Zealand) Limited (BRL), GPS Alliance Holdings Limited (GPS), iSelect Limited (ISU), Lion One Metals Limited (LLO), New Newscorp Inc (NNC), Virtus Health Limited (VRT) and Zeta Resources Limited (ZER).

De-listings for the month were Albidon Limited (ALB), Aurora Sandringham Dividend Income Trust (AOD), Australian Infrastructure Fund (AIX), Bathurst Resources Limited (BTU), Cheviot Kirribilly Vineyard Property Limited (CKP), Credit Suisse GP100 - Australia Trust (CSJ), Eftel Limited (EFT), Kumarina Resources Limited (KMR) and Synergy Metals Limited (SML).

Key Listings Statistics	June 2013
Total company announcements	7,530
Price queries by ASX <sup>1</sup>	24
Other continuous disclosure queries by ASX <sup>2</sup>	28
Aware letters sent by ASX <sup>3</sup>	2
Announcements made following a price query	16
Trading halts at the listed entity's request	65
Trading halts following a query by ASX	4
Suspensions at the listed entity's request	21
Suspensions imposed by ASX for breach of the Listing Rules	0

<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.

## Participants

ASX Participants <sup>4</sup>	June 2013
Market/Clearing/Settlement Participants at month start	125
New admissions	0
Resignations and removals	2
Market/Clearing/ Settlement Participants at month end	123

ASX 24 Participants	June 2013
Trading/Clearing Participants at month start	47
New admissions	2
Resignations and removals	0
Trading/Clearing Participants at month end	49

During the month of June, Optiver Australia Pty Ltd and Jump Trading LLC were admitted as ASX 24 Participants and Kokomo Capital Pty Ltd and Blackrock Investment Management Australia Limited resigned as ASX Participants.

## Enforcement

Referrals to ASIC <sup>5</sup>	June 2013
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	June 2013
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

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>.

<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

Changes to the ASX Clear Operating Rules and the ASX Settlement Operating Rules to facilitate the introduction of cash market margining came into effect in June and the first margins were called on 7 June 2013.

Changes to the ASX Clear Operating Rules also came into effect providing for the demutualisation of the contributions element of the current CAC (Contributions and Additional Cover) calls and an increase of the Capital Based Position Limit (CBPL) usage threshold for ASX Clear Participants from 2.0 to 2.5 (effective).

ASX Operating Rules Procedure 4024 was amended to reflect the change of the Minimum Order Value (MOV) for Centre Point Block orders from \$50,000 to \$0. The changes were phased in over a five-day period effective from 3 June and completed for all applicable ASX cash market securities by 7 June 2013.

The entitlements of ASX Limited (ASX Code: ASXR) were included as a FOR Financial Product<sup>6</sup> under the ASX Settlement Operating Rules.

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

There were 80 waivers granted in relation to the ASX Listing Rules, one in relation to ASX Operating Rules and two in relation to ASX 24 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.

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<sup>6</sup> FOR Financial Products means a class of Approved Financial Products included in Schedule 1 that are subject to aggregate foreign ownership restrictions pursuant to legislation or under the Issuer's constitution.