



MARKET ANNOUNCEMENT

6 January 2014

ASX Compliance Monthly Activity Report – December 2013

Listings

Listed Entities	December 2013
Listed entities at month start	2,173
New listings	33
De-listings	11
Listed entities at month end	2,195

New listings for the month were Affinity Education Group Limited (AFJ), APN National Storage Property Trust (NSR), Arena REIT No 2 (ARF), Cover-More Group Limited (CVO), Dick Smith Holdings Limited (DSH), Dorsavi Ltd (DVL), Driver Australia One Trust (DAO), EBOS Group Limited (EBO), Elsmore Resources Limited (ELR), GDI Property Group Limited (GDI), GDI Property Trust (GDI), Hotel Property Investments Limited (HPI), Hotel Property Investments Trust (HPI), iBuy Group Limited (IBY), Industria Company No. 1 Pty Ltd (IDR), Industria Trust No. 1 (IDR), Industria Trust No. 2 (IDR), Industria Trust No. 3 (IDR), Industria Trust No. 4 (IDR), Innate Immunotherapeutics Limited (IIL), Lifehealthcare Group Limited (LHC), National Storage Holdings Limited (NSR), Nine Entertainment Co. Holdings Limited (NEC), Orora Limited (ORA), Pact Group Holdings Ltd (PGH), PM Capital Global Opportunities Fund Limited (PGF), PUMA Series 2013-1 (PUJ), Real Energy Corporation Limited (RLE), Recall Holdings Limited (REC), Sandon Capital Investments Limited (SNC), Sino Australia Oil & Gas Ltd (SAO), Veda Group Limited (VED) and Vocation Limited (VET).

De-listings for the month were AHC Limited (AHC), Clough Limited (CLO), DMX Corporation Limited (DMX), Facilitate Digital Holdings Limited (FAC), Linc Energy Ltd (LNC), Miclyn Express Offshore Limited (MIO), Perilya Limited (PEM), Primero Mining Corp. (PPM), Securitised Australian Mortgage Trust 2006-1 (SAG), Sydney Airport Trust 2 (SYD) and The Trust Company Limited (TRU).

Key Listings Statistics	December 2013
Total company announcements	9,307
Price queries by ASX ¹	30
Other continuous disclosure queries by ASX ²	22
Aware letters sent by ASX ³	3

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.

Key Listings Statistics	December 2013
Announcements made following a price query	18
Trading halts at the listed entity's request	95
Trading halts following a query by ASX	3
Suspensions at the listed entity's request	38
Suspensions imposed by ASX for breach of the Listing Rules	2

Participants

ASX Participants ⁴	December 2013
Market/Clearing/Settlement Participants at month start	119
New admissions	0
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	119

ASX 24 Participants	December 2013
Trading/Clearing Participants at month start	49
New admissions	4
Resignations and removals	0
Trading/Clearing Participants at month end	53

In December, National Australia Bank, Westpac Banking Corporation and ANZ Banking Group were admitted as ASX Clear Futures Participants as part of the OTC application process. Tibra Trading Pty Ltd was also admitted as an ASX 24 Participant.

Enforcement

Referrals to ASIC ⁵	December 2013
Continuous disclosure referrals	2
Other referrals	1
Total referrals to ASIC	3

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.

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.

Enforcement Matters	December 2013
Open ASX enforcement matters at month start	5
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	3
Open ASX enforcement matters at month end	2
Fines imposed during the month (excl GST)	\$4,000

No Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

ASX Rule Changes, Waivers and Exemptions

The new ASX Listing Rules for mining and oil and gas reporting commenced on 1 December 2013. Information about the new reporting rules, including podcasts of, and copies of the presentation slides from, the mining and oil and gas roadshow presentations held earlier this year can be found on the Compliance Downloads page: <http://www.asx.com.au/regulation/compliance/compliance-downloads.htm>. A link to answers to frequently asked questions covering the transition to the new reporting regime, competent persons, exploration targets and production targets is also available on the Compliance Downloads page.

Changes to Procedure 4800 of the ASX 24 Operating Rules relating to exchange for physical transactions came into effect on 27 December 2013. These changes were announced to participants on 25 November 2013.

Changes to the trading hours of Agricultural Derivatives came into effect on 2 December 2013. These changes applied to ASX Grain as well as ASX Wool markets traded on ASX 24.

Changes to ASX24 Schedules and Procedures with respect to the launch of three ASX New Zealand Electricity Futures Contracts came into effect on 9 December 2013. These contracts were the Average Rate Options over Base Load Calendar Quarter Electricity Futures for Otahuhu (EA) and Benmore (EE), Base Load Calendar Month Electricity Futures for Otahuhu (ED) and Benmore (EH) and Peak Load Calendar Quarterly Electricity Futures for Otahuhu (EC) and Benmore (EG).

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

There were 106 waivers⁶ granted in relation to the ASX Listing Rules and no waivers 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.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.

⁶ This includes 24 waivers which were incorrectly included in the ASX Compliance Monthly Activity Report for November 2013 report, which ASX had decided to grant in November 2013 but which did not come into effect until December 2013.