



3 June 2016

Australian Securities and Investments Commission  
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**ASX COMPLIANCE MONTHLY ACTIVITY REPORT – MAY 2016**

Attached is a copy of the ASX Compliance Monthly Activity Report for May 2016.

Amanda J. Harkness  
Group General Counsel & Company Secretary



# MARKET ANNOUNCEMENT

3 June 2016

## ASX COMPLIANCE MONTHLY ACTIVITY REPORT – MAY 2016

### LISTINGS

Listed Entities	May 2016
Listed entities at month start	2,205
New listings	10
De-listings	9
Listed entities at month end	2,206

New listings for the month were Afterpay Holdings Limited (AFY), Crusade ABS Series 2016-1 Trust (CU1), Driver Australia Three Trust (DAE), Medallion Trust Series 2015-2 (MZC), PUMA Series 2015-3 (PUV), Redbubble Limited (RBL), Shark Mitigation Systems Ltd (SM8), SMART ABS Series 2015-2 Trust (SMT), Tegel Group Holdings Limited (TGH) and WAM Leaders Limited (WLE).

De-listings for the month were APOLLO Series 2007-1E Trust (AOY), Colorpak Limited (CKL), Mongolian Resource Corporation Ltd (MUB), New Zealand Oil & Gas Limited (NZO), Phillips River Mining Limited (PRH), PUMA Masterfund S-7 (PUS), Recall Holdings Limited (REC), Scentre Group Trust 1, Scentre Group Trust 2 (SCA) and Vicinity Centres Trust (VCD).

Key Listings Statistics	May 2016
Total company announcements	9,359
Price queries by ASX <sup>1</sup>	59
Other continuous disclosure queries by ASX <sup>2</sup>	35
Aware letters sent by ASX <sup>3</sup>	14

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<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.



Key Listings Statistics	May 2016
Announcements made following a price query	38
Trading halts at the listed entity's request	116
Trading halts following a query by ASX	14
Suspensions at the listed entity's request	25
Suspensions imposed by ASX for breach of the Listing Rules	5

## PARTICIPANTS

ASX Participants <sup>4</sup>	May 2016
Market/Clearing/Settlement Participants at month start	119
New admissions	1
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	May 2016
Trading/Clearing Participants at month start	52
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	51

During the month of May, FinClear Pty Ltd was admitted as an ASX Clear and Settlement Participant and Barclays Bank Plc resigned as an ASX24 and ASX Clear (Futures) Participant.

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<sup>4</sup> Figures exclude Special Settlement Participants set up to effect a specific corporate action as their participation is only temporary.



## ENFORCEMENT

Referrals to ASIC <sup>5</sup>	May 2016
Continuous disclosure referrals	5
Other referrals	2
Total referrals to ASIC	7

Enforcement Matters	May 2016
Open ASX enforcement matters at month start	0
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	0
Open ASX enforcement matters at month end	0
Fines imposed during the month (excluding GST)	Nil

## ASX RULE CHANGES, WAIVERS AND EXEMPTIONS

There were no rule and guidance note changes in May.

During the month there were 63 waivers granted in relation to the ASX Listing Rules and two waivers granted in relation to the AQUA Product Rules in 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.asx.com.au/regulation/rules-guidance-notes-and-waivers.htm>) and then clicking on the waivers tab.

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<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.