



6 January 2016

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**ASX COMPLIANCE MONTHLY ACTIVITY REPORT – DECEMBER 2015**

Attached is a copy of the ASX Compliance Monthly Activity Report for December 2015.

Amanda J. Harkness  
Group General Counsel & Company Secretary



# MARKET ANNOUNCEMENT

6 January 2016

## ASX COMPLIANCE MONTHLY ACTIVITY REPORT – DECEMBER 2015

### LISTINGS

Listed Entities	December 2015
Listed entities at month start	2,221
New listings	25
De-listings	8
Listed entities at month end	2,238

New listings for the month were Absolute Equity Performance Fund Limited (AEG), AFT Pharmaceuticals Limited (AFP), Alt Resources Limited (ARS), Apiam Animal Health Limited (AHX), BuildingIQ, Inc (BIQ), Class Limited (CL1), Digimatic Group Limited (DMC), EQT Holdings Limited (EQT), Graphitecorp Limited (GRA), IVE Group Limited (IGL), Jayex Healthcare Limited (JHL), Kingsland Global Ltd (KLO), McGrath Limited (MEA), Megaport Limited (MP1), Micro-X Limited (MX1), MMG Limited (MMG), OneAll International Limited (1AL), Over the Wire Holdings Limited (OTW), PSC Insurance Group Limited (PSI), Real Estate Investar Group Limited (REV), Temple & Webster Group Ltd (TPW), TopBeta Holdings Limited (TBH), Updater Inc (UPD), Wellard Limited (WLD) and WONHE Multimedia Commerce Ltd (WMC).

De-listings for the month were Affinity Education Group Limited (AFJ), Ascot Resources Limited (AZQ), Atherton Resources Limited (ATE), Australian Industrial REIT (ANI), Calibre Group Limited (CGH), Lion Series 2007-1 Trust (LNS), Treyo Leisure and Entertainment Limited (TYO) and Vision Eye Institute Limited (VEI).

Key Listings Statistics	December 2015
Total company announcements	9,718
Price queries by ASX <sup>1</sup>	23
Other continuous disclosure queries by ASX <sup>2</sup>	15

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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.



Key Listings Statistics	December 2015
Aware letters sent by ASX <sup>3</sup>	6
Announcements made following a price query	16
Trading halts at the listed entity's request	97
Trading halts following a query by ASX	8
Suspensions at the listed entity's request	23
Suspensions imposed by ASX for breach of the Listing Rules	1

## PARTICIPANTS

ASX Participants <sup>4</sup>	December 2015
Market/Clearing/Settlement Participants at month start	120
New admissions	0
Resignations and removals	0
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	December 2015
Trading/Clearing Participants at month start	54
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	54

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<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.

<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>	December 2015
Continuous disclosure referrals	0
Other referrals	0
Total referrals to ASIC	0

Enforcement Matters	December 2015
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)	0

## ASX RULE CHANGES, WAIVERS AND EXEMPTIONS

In 1 December, amendments were made to the Austraclear Regulations, Procedures, Determinations and Practice Notes to facilitate the insourcing of Exigo by ASX and to provide Austraclear with the flexibility to introduce additional currencies for foreign exchange transactions and the types of forward non-delivery transactions that may be entered into the system.

On 11 December, Listing Rules Guidance Notes 4, 15 and 15A were amended to clarify the listing fees payable by entities listed in the ASX Foreign Exempt Listing category and foreign entities in the ASX Listing category that are also listed on another exchange.

Also on 11 December, Listing Rules Guidance Note 16 was updated to include new general trading halt email addresses for the Sydney, Melbourne and Perth home branches.

On 24 December, Listing Rules 18.10 and 18.11 (and the related rules in the ASX Enforcement and Appeals Rulebook) were amended to remove appeal rights in relation to ASX decisions on the admission of entities to, and removal of entities from, the ASX official list, the quotation of securities and the granting of waivers

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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.



under the Listing Rules. Listing Rules Guidance Notes 1, 17, 29, 30 and 33 were amended and Guidance Note 21 withdrawn to reflect these changes.

Details of these rule and guidance note changes can be accessed online at:

<http://www.asx.com.au/regulation/rules/recent-rule-amendments.htm>

There were 69 waivers granted in relation to the ASX Listing Rules, three waivers granted in relation to the AQUA Product Rules in the ASX Operating Rules and nine waivers granted in relation to the ASX Settlement Operating Rules. No other waivers were granted in relation to the ASX Clear Operating Rules, ASX24 Operating Rules, ASX Clear (Futures) Operating Rules or the Austraclear Regulations. 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.