



# MARKET ANNOUNCEMENT

5 April 2016

## ASX COMPLIANCE MONTHLY ACTIVITY REPORT – MARCH 2016

### LISTINGS

Listed Entities	March 2016
Listed entities at month start	2,209
New listings	5
De-listings	11
Listed entities at month end	2,203

New listings for the month were JC International Group Limited (JCI), N1 Holdings Limited (N1H), Oneview Healthcare PLC (ONE), SMART ABS Series 2015-4E Trust (SXB) and Soon Mining Limited (SMG).

De-listings for the month were Cape Range Limited (CAG), Drillsearch Energy Limited (DLS), Equity Trustee Limited (EQT), Freehill Mining Limited (FHM), Global Resources Masters Fund Limited (GRF), IVS Holdings Ltd (IVS), Mazu Alliance Limited (MZU), Planet Platinum Limited (PPN), Riddock International Limited (RIL), Stirling Products Limited (STI) and UXA Resources Ltd (UXA).

Key Listings Statistics	March 2016
Total company announcements	10,158
Price queries by ASX <sup>1</sup>	40
Other continuous disclosure queries by ASX <sup>2</sup>	24
Aware letters sent by ASX <sup>3</sup>	15
Announcements made following a price query	30
Trading halts at the listed entity's request	113

<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	March 2016
Trading halts following a query by ASX	12
Suspensions at the listed entity's request	18
Suspensions imposed by ASX for breach of the Listing Rules	19 <sup>4</sup>

## PARTICIPANTS

ASX Participants <sup>5</sup>	March 2016
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	March 2016
Trading/Clearing Participants at month start	54
New admissions	0
Resignations and removals	0
Trading/Clearing Participants at month end	54

## ENFORCEMENT

Referrals to ASIC <sup>6</sup>	March 2016
Continuous disclosure referrals	0

<sup>4</sup> All 19 entities were suspended for non-lodgement of periodic reports and automatically suspended under Listing Rule 17.5.

<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.



Referrals to ASIC <sup>6</sup>	March 2016
Other referrals	1
Total referrals to ASIC	1

Enforcement Matters	March 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)	0

#### **ASX RULE CHANGES, WAIVERS AND EXEMPTIONS**

On 1 March, ASX released a new Guidance Note 10 *Maintenance of a Fair, Orderly and Transparent Market* for both the ASX and ASX 24 markets.

On 7 March, the ASX Operating Rules, ASX Clear Operating Rules, ASX Settlement Operating Rules and ASX Listing Rules were amended to support the change from T+3 to T+2 settlement.

On 10 March, the ASX 24 Operating Rule Procedures were amended to support changes to the contract tick size from 1 point to 0.1 point for equity sector futures contracts during the roll period (the last week of a contract expiry).

Annexure A to ASX Listing Rules Guidance Note 20 *ASX Online* containing the application form and agreement for ASX's e-lodgement facility was updated on 14 March to cover the e-lodgement of documents by AQUA Product Issuers and Warrant-Issuers.

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 52 waivers of the ASX Listing Rules, one waiver each of the ASX 24 and ASX Clear (Futures) Operating Rules and eight waivers of the ASX Settlement Operating Rules granted during the month. 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.