



4 May 2016

Australian Securities and Investments Commission
Mr Oliver Harvey
Senior Executive, Financial Market Infrastructure
Level 5, 100 Market Street
SYDNEY NSW 2000

ASX Market Announcements Office
ASX Limited
20 Bridge Street
SYDNEY NSW 2000

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – APRIL 2016

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

Amanda J. Harkness
Group General Counsel & Company Secretary



MARKET ANNOUNCEMENT

4 May 2016

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – APRIL 2016

LISTINGS

Listed Entities	April 2016
Listed entities at month start	2,203
New listings	10
De-listings	8
Listed entities at month end	2,205

New listings for the month were Abundant Produce Limited (ABT), China Dairy Corporation Limited (CDC), Iron Mountain Incorporated (INM), Medallion Trust Series 2016-1 (MZF), Monash Absolute Investment Company Limited (MA1), MotorCycle Holdings Limited (MTO), Reliance Worldwide Corporation Limited (RWC), Vicinity Centres Trust (VCD), Volpara Health Technologies Limited (VHT) and WiseTech Global Limited (WTC).

De-listings for the month were Aquarius Platinum Limited (AQP), Lasseters Corporation Limited (LAS), Mako Hydrocarbons Ltd. (MKE), Preferred Capital Limited (PCA), Redcliffe Resources Limited (RCF), Sedgman Limited (SDM), Synergy Plus Limited (SNR) and Vonex Limited (VNX).

Key Listings Statistics	April 2016
Total company announcements	9,682
Price queries by ASX ¹	44
Other continuous disclosure queries by ASX ²	23
Aware letters sent by ASX ³	7

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.

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.



Key Listings Statistics	April 2016
Announcements made following a price query	34
Trading halts at the listed entity's request	123
Trading halts following a query by ASX	8
Suspensions at the listed entity's request	28
Suspensions imposed by ASX for breach of the Listing Rules	4

PARTICIPANTS

ASX Participants ⁴	April 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	April 2016
Trading/Clearing Participants at month start	54
New admissions	0
Resignations and removals	2
Trading/Clearing Participants at month end	52

During the month of April, Aliom Trading Pty Ltd and Morrison Securities Pty Ltd resigned as ASX 24 Participants.

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



ENFORCEMENT

Referrals to ASIC ⁵	April 2016
Continuous disclosure referrals	2
Other referrals	2
Total referrals to ASIC	4

Enforcement Matters	April 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

ASX Settlement Operating Rule 6.3B (client trust deductible amount in respect of cash contra transactions) was amended on 18 April to address a possible intraday funding impact when a client has sold one financial product and bought a different financial product that are both due to settle on the same day. The changes allow the amount withdrawable from the client trust account for a purchase to include monies that are due to be paid to, but not yet in, the client trust account upon the sell side of the cash contra transaction settling.

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

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

During the month, there were 57 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,

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.



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.