



3 December 2015

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

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

Amanda J. Harkness  
Group General Counsel & Company Secretary



# MARKET ANNOUNCEMENT

3 December 2015

## ASX COMPLIANCE MONTHLY ACTIVITY REPORT – NOVEMBER 2015

### LISTINGS

Listed Entities	November 2015
Listed entities at month start	2,216
New listings	8
De-listings	3
Listed entities at month end	2,221

New listings for the month were 8IP Emerging Companies Limited (8IP), BWX Limited (BWX), Hazer Group Limited (HZR), IDP Education Limited (IEL), Millennium Services Group Limited (MIL), PWR Holdings Limited (PWH), Uranium Resources Inc (URI) and Xenith IP Group Limited (XIP).

De-listings for the month were Anatolia Energy Limited (AEK), FirstMac Bond Series 1C-2006 Trust (FMN) and TORRENS Series 2006-1(E) Trust (TRX).

Key Listings Statistics	November 2015
Total company announcements	11,684
Price queries by ASX <sup>1</sup>	25
Other continuous disclosure queries by ASX <sup>2</sup>	28
Aware letters sent by ASX <sup>3</sup>	10
Announcements made following a price query	21
Trading halts at the listed entity's request	113

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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	November 2015
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	29
Suspensions imposed by ASX for breach of the Listing Rules	0

## PARTICIPANTS

ASX Participants <sup>4</sup>	November 2015
Market/Clearing/Settlement Participants at month start	121
New admissions	0
Resignations and removals	1
Market/Clearing/Settlement Participants at month end	120

ASX 24 Participants	November 2015
Trading/Clearing Participants at month start	56
New admissions	0
Resignations and removals	2
Trading/Clearing Participants at month end	54

During the month, BNP Paribas Fund Services Australasia Pty Ltd resigned as an ASX Participant and Blue Fire Capital LLC and TradeCo Global Inc resigned as ASX 24 Participants.

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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>	November 2015
Continuous disclosure referrals	4
Other referrals	0
Total referrals to ASIC	4

Enforcement Matters	November 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

Minor miscellaneous amendments were made to Listing Rules 1.1, 1.10.1, 3.10A, 3.17, 10.12, 14.4, 14.5, 15.4.1, 19.12 as well as Appendices 1A, 1B, 1C and 4G on 2 November.

On 9 November, the ASX 24 Operating Rules were amended to reflect a reduction in the contract size of ASX New Zealand Electricity Futures and Options from 1MWh (Megawatt Hour) to 0.1 MWh.

On 20 November, ASX Operating Rules Procedure 10A.3.3 was amended to include the J.P. Morgan Emerging Markets Bond Index Global and the Markit iBoxx Global Developed Markets Liquid High Yield Index as acceptable underlying indices for an AQUA Product.

ASX received regulatory clearance for the trading of 3, 5 and 10 Year Deliverable Swap Futures contracts on 30 November. Details of the associated changes to the ASX 24 and ASX Clear (Futures) Operating Rules and Procedures, as well as other key information about 3, 5 and 10 Year Deliverable Swap Futures contracts, can be found in ASX Notice 1407.15.11.

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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.



Following regulatory guidance from the Reserve Bank of Australia, ASX enhanced the client account provisions in the ASX Clear Operating Rules and Procedures with effect on 30 November to enable excess client cash collateral for Exchange Traded Options (ETO) to be held directly with ASX and to clarify that Cash Cover and Excess Cash recorded for an ETO Client account cannot be used by ASX towards satisfaction of obligations of the Clearing Participant in respect of another Client's account.

On 30 November, ASX amended the ASX Clear and ASX Clear (Futures) Operating Rules Procedures to enable participants that are foreign authorised deposit-taking institutions to prepare their accounts in accordance with the accounting standards that apply in their home jurisdiction instead of Australian accounting standards.

The ASX and ASX Clear Operating Rules and Procedures required to support the introduction of TORESS (TOtal REturn Single Stock) LEPOS also came into effect on 30 November.

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 90 waivers granted in relation to the ASX Listing Rules and one waiver in relation to the AQUA Product Rules in the ASX Operating Rules. No other waivers were granted in relation to the ASX Operating Rules and no waivers were granted in relation to the ASX Settlement Operating Rules, ASX Clear Operating Rules, ASX 24 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.