



4 November 2015

Australian Securities and Investments Commission
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ASX COMPLIANCE MONTHLY ACTIVITY REPORT – OCTOBER 2015

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

Amanda J. Harkness
Group General Counsel & Company Secretary



MARKET ANNOUNCEMENT

4 November 2015

ASX COMPLIANCE MONTHLY ACTIVITY REPORT – OCTOBER 2015

LISTINGS

Listed Entities	October 2015
Listed entities at month start	2,211
New listings	9
De-listings	4
Listed entities at month end	2,216

New listings for the month were Aventus Retail Property Fund (AVN); Baby Bunting Group Limited (BBN); CBL Corporation Limited (CBL); Dongfang Modern Agriculture Holding Group Limited (DFM); Enice Holding Company Limited (ENC); FarmaForce Limited (FFC); Integral Diagnostics Limited (IDX); Link Administration Holdings Limited (LNK) and S2 Resources Ltd (S2R).

De-listings for the month were Energy Developments Limited (ENE); John Shearer (Holdings) Limited (SHR); Scantech Limited (SCD) and Skilled Group Limited (SKE).

Key Listings Statistics	October 2015
Total company announcements	13,113
Price queries by ASX ¹	23
Other continuous disclosure queries by ASX ²	24
Aware letters sent by ASX ³	7
Announcements made following a price query	23
Trading halts at the listed entity's request	103

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	October 2015
Trading halts following a query by ASX	6
Suspensions at the listed entity's request	20
Suspensions imposed by ASX for breach of the Listing Rules	18

PARTICIPANTS

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

ASX 24 Participants	October 2015
Trading/Clearing Participants at month start	56
New admissions	1
Resignations and removals	1
Trading/Clearing Participants at month end	56

During the month of October, Metark Trading Pty Ltd was admitted as an ASX Participant and an ASX 24 Participant. MW Markets Pty Ltd resigned as an ASX 24 Participant.

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	October 2015
Continuous disclosure referrals	3
Other referrals	1
Total referrals to ASIC	4

Enforcement Matters	October 2014
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

New and amended rules and procedures which enhance the ability of ASX Clear and ASX Clear (Futures) to recover from extreme stress scenarios became effective on 1 October. The amendments were required to comply with domestic and international regulatory requirements applicable to ASX Clear and ASX Clear (Futures) and were developed through extensive consultation with customers and regulators. They deal with:

- allocation of uncovered credit losses and liquidity shortfalls arising from a clearing participant default;
- replenishment of their financial resources following a clearing participant default; and
- allocation of investment losses incurred by ASX Clear and ASX Clear (Futures).

On 12 October, Procedure 10A.3.3 of the ASX Operating Rules was amended to include Barclays Global Aggregate Index as one of the fixed income indices for the purposes of admission as an AQUA product.

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.



On the same day, changes to the ASX 24 Operating Rules and Procedures associated with the launch of the Mini SPI 200™ Index Futures (S&P/ASX 200 Index) came into effect. The Mini SPI 200™ futures is similar to its parent SPI 200™ futures (AP) contract except that it has a \$5 tick value, not \$25.

Also on 12 October, the ASX 24 Operating Rules and Procedures were amended to support the introduction of the Eastern Australia Wheat Futures and Options. These new Eastern Australia Wheat contracts feature an expanded delivery arc covering Queensland, New South Wales and Victoria.

Guidance Note 7 *US Entities – Regulation S offerings on ASX* was updated as part of the ongoing review of ASX Listing Rules Guidance Notes.

Other minor changes were made in the month to:

- Guidance Note 1 *Admission as a Participant* for each of the ASX, ASX 24, ASX Clear, ASX Clear (Futures) and ASX Settlement Operating Rules;
- ASX Clear Guidance Notes 2 *Resigning as a Participant* and 5 *Suspension and Termination of Participants*;
- ASX Clear Futures Guidance Notes 2 *Resigning a Participation*; and
- ASX Settlement Guidance Notes 9 *Offshoring and Outsourcing* and 10 *Business Continuity and Disaster Recovery*.

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 103 waivers granted in relation to the ASX Listing Rules, one waiver in relation to the AQUA Product Rules in the ASX Operating Rules, and one waiver in relation to ASX 24 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.