



MARKET ANNOUNCEMENT

6 October 2011

ASX Compliance Monthly Activity Report – September 2011

Listings

Listed Entities	September 2011
Listed entities at month start	2,225
New listings	8
De-listings	4
Listed entities at month end	2,229

Average monthly new listings for FY11 year-to-date stand at 10 (compared to 13 listings per month on average for FY11).

New listings for the month were Altius Mining Limited (AYM), Baru Resources Limited (BAC), Cradle Resources Limited (CXX), GI Dynamics, Inc (GID), IDOL 2011-1 Trust (IDH), Parker Resources NL (PKR), Strickland Resources Limited (STK) and Torrens Series 2011-1(E) Trust (TRA).

De-listings for the month were Cash Converters UK Holdings PLC (CCV), Centrebet International Limited (CIL), EDT Retail Trust (EDT) and IntraPower Limited (IPX).

Key Listings Statistics	September 2011
Total company announcements	11,328
Price queries ¹ by ASX	29
Other continuous disclosure queries by ASX ²	54
Aware letters ³ sent by ASX	2
Announcements made following a price query	27
Trading halts at the listed entity's request	86
Trading halts following a query by ASX	6
Suspensions at the listed entity's request	6

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 an 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	September 2011
Suspensions imposed by ASX for breach of the Listing Rules	5

Participants

ASX Participants ⁴	September 2011
Market/Clearing/Settlement Participants at month start	136
New admissions	0
Resignations and removals	1
Market/Clearing/Settlement Participants at month end	135

ASX 24 Participants	September 2011
Trading/Clearing Participants at month start	44
New admissions	0
Resignations and removals	1
Trading/Clearing Participants at month end	43

On 1 September Stonebridge Securities Limited's resignation of its ASX, ASX Clear and ASX Settlement participations was accepted. The resignation of its related body corporate, Stonebridge Futures Pty Limited, ASX 24 participation was also accepted.

Enforcement

Referrals to ASIC ⁵	September 2011
Continuous disclosure referrals	1
Other referrals	0
Total referrals to ASIC	1

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

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.

Pre 1 August 2010 Enforcement Matters ⁶	September 2011
Open ASX enforcement matters at month start	8
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	2
Open ASX enforcement matters at month end	6
Fines imposed during the month (excl GST)	\$315,000

To date there have been no enforcement matters commenced in respect of potential contraventions of the ASX and ASX 24 Operating Rules occurring after 1 August 2010.

Two Disciplinary Circulars were released by the ASX Disciplinary Tribunal during the month. Copies of the Circulars are available online at: <http://www.asx.com.au/asx/group/disciplinaryAnnouncements.do>.

ASX Rule Changes, Waivers and Exemptions

In order to comply with the transfer restrictions under Regulation S of the United States Securities Act of 1933 for offers of securities which are made outside the US, Schedule 1 of the ASX Settlement Operating Rule Procedures was amended to add the CHESD Depository Interests (CDIs) of GI Dynamics, Inc as a new FOR⁷ Financial Product effective from 5 September 2011. Consequently investors may not re-sell any GI Dynamics CDIs or shares of common stock underlying the CDIs issued under the GI Dynamics public offer into the US or to a US person for a period of 12 months effective from 5 September 2011.⁸

On 30 September 2011, Goldman Fielder Limited (GFF) was also included as a FOR Financial Product. In the case of GFF, only Eligible Persons are entitled to exercise entitlements of GFF which commenced trading under the ASX code of GFFR on 30 September 2011. The definition of 'Eligible Persons' is included in the ASX Circular dated 29 September.

ASX is proposing to amend ASX Operating Rules Procedure 1402 so that participants who conduct both agency and non-agency business and who wish to have continued access to the Volume Match Book[®] for their client orders, need only provide ASX with triennial (ie once every three years) rather than annual certification.

Schedules 3 and 5 to the ASX Operating Rules have been amended so that the names of the S&P indices over which futures and options contracts may be listed are now set out in the Procedures.

Details of these changes can be accessed online at: <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>

ASX granted 55 waivers from the ASX Listing Rules and one exemption from other ASX rule books during the month. These can be accessed online at the Rules, Guidance Notes and Waivers page on the ASX website <http://www.asxgroup.com.au/rules-guidance-notes-and-waivers.htm>.

⁶ Prior to 1 August 2010, ASX was responsible for supervising the ASX and ASX 24 markets and their participants and for monitoring and enforcing compliance with the market rules for those markets. The responsibility for supervising the ASX and ASX 24 markets and their participants was transferred from ASX to ASIC on 1 August 2010 pursuant to the Corporations Amendment (Financial Market Supervision) Act 2010, and the market rules for the ASX and ASX 24 markets were effectively split into market integrity rules administered by ASIC and Operating Rules administered by ASX. However, ASX remains responsible for enforcing any breaches of the former market rules that occurred prior to 1 August 2010.

⁷ FOR Financial Products means a class of Approved Financial Products included in Schedule 1 that are subject to aggregate foreign ownership restrictions pursuant to legislation or under the Issuer's constitution.

⁸ Exceptions apply.