



4 June 2014

Australian Securities and Investments Commission
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ASX COMPLIANCE MONTHLY ACTIVITY REPORT – MAY 2014

Attached is a copy of the ASX Compliance Monthly Activity Report for May 2014.

Amanda J Harkness
Group General Counsel & Company Secretary



MARKET ANNOUNCEMENT

4 June 2014

ASX Compliance Monthly Activity Report – May 2014

Listings

Listed Entities	May 2014
Listed entities at month start	2182
New listings	9
De-listings	7
Listed entities at month end	2184

New listings for the month were Bank of China Limited (BKC), Fifth Element Resources Limited (FTH), Genworth Mortgage Insurance Australia Limited (GMA), Intueri Education Group Limited (IOE), Pioneer Credit Limited (PNC), PM Capital Asian Opportunities Fund Limited (PAF), Spotless Group Holdings Limited (SPO), Stavelly Minerals Limited (SVY) and Victor Group Holdings Limited (VIG).

De-listings for the month were AMP Group Finance Services Limited (AQN), Apollo Series 2005-2 Trust (APQ), Deutsche Bank AG (DBA), Netherlands Development Finance Company (NFB), Progress 2006-1 Trust (POJ), Securitised Australian Mortgage Trust 2007-1 (SAD), and Twenty-First Century Fox, Inc (FOX).

Key Listings Statistics	May 2014
Total company announcements	8634
Price queries by ASX ¹	42
Other continuous disclosure queries by ASX ²	43
Aware letters sent by ASX ³	4
Announcements made following a price query	31
Trading halts at the listed entity's request	108
Trading halts following a query by ASX	5
Suspensions at the listed entity's request	20
Suspensions imposed by ASX for breach of the Listing Rules	3

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.

Participants

ASX Participants ⁴	May 2014
Market/Clearing/Settlement Participants at month start	120
New admissions	2
Resignations and removals	0
Market/Clearing/ Settlement Participants at month end	122

ASX 24 Participants	May 2014
Trading/Clearing Participants at month start	58
New admissions	1
Resignations and removals	0
Trading/Clearing Participants at month end	59

During the month of May, Fidante Partners Limited and FundBPO Pty Ltd were admitted as Participant Issuer Settlement Participants in the ASX Settlement Facility. DM Capital Management Pty Limited was admitted as an ASX 24 Participant.

Enforcement

Referrals to ASIC ⁵	May 2014
Continuous disclosure referrals	2
Other referrals	4
Total referrals to ASIC	6

Enforcement Matters	May 2014
Open ASX enforcement matters at month start	1
New enforcement matters commenced during the month	0
Enforcement matters concluded during the month	1
Open ASX enforcement matters at month end	0
Fines imposed during the month (excl GST)	\$50,000.00

One Disciplinary Circular was 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>.

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.

ASX Rule Changes, Waivers and Exemptions

A number of volatility controls for equity index futures contracts were introduced into the ASX24 Operating Rules Procedures on 26 May. The controls have been introduced to conform to the ASIC Market Integrity Rules (Competition in Exchange Markets) 2011. They include an Extreme Trade Range (which sets the upper and lower price boundaries for a contract in a given trading session), an Anomalous Order Threshold (which stops aggressive orders from entering the market outside an allowed range) and a Regulatory Halt Session State (which enables the ETR/AOT to be reset in the event of erroneous trading). These volatility controls apply to the ASX SPI 200™ index futures (AP), S&P/ASX200 Resources index futures (AR) and the S&P/ASX200 Financials-x-A-REIT index futures (AF) contracts.

Procedure 16 of the ASX Clear (Futures) Operating Rules has been amended to reflect the upgrade of the ASX Clear (Futures) clearing system to Genium INET Clearing. Effective from 19 May, Genium INET Clearing replaced OM SECUR in the list of approved software and equipment for use by clearing participants.

Details of these rule changes can be accessed online at: <http://www.asx.com.au/regulation/rules/recent-rule-amendments.htm>

There were 47 waivers granted in relation to the ASX Listing Rules and four waivers in relation to ASX Operating Rules and 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.