

## NOTICE OF SPECIFIED PENALTY

Date of Issue: December 14, 2015

Payment Due Date: January 14, 2016

MSA File Number:	2015-383	<b>Specified Penalty Amount:</b>	\$ 2,500
Market Participant Name:	Morgan Stanley Capital Group Inc.		
Asset ID (if applicable):	MOMT	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.6	Date of Contravention:	July 13, 2015
Date of Referral/Self Report:	November 19, 2015	This is the third contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 13, 2015, MOMT was scheduled to provide 12 MW of import energy in hour ending (HE) 15. The available capability (AC) of the asset for this settlement interval was reduced from 12 MW to 0 MW at approximately 11:23 (prior to T-2) to reflect voltage control testing at the source of the energy. However, a valid e-tag for a 12 MW import transaction for the HE 15 settlement interval remained in place and consequently, the energy import proceeded in HE 15 while declared AC for MOMT was 0 MW. ISO rule 203.6 indicates that a pool participant must submit e-tags for an energy interchange transaction such that the final total amount in MW agrees with the AC of the source asset as stated two hours before the start of the settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.6.

### MATERIAL FACTS

The material facts relied upon by the MSA include the following:

1. AESO e-tag and available capability data for MOMT for July 13, 2015.
2. Self-report from Morgan Stanley Capital Group Inc. to the MSA dated November 19, 2015.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Andrew Davison (Senior Market Analyst) [andrew.davison@auc.ab.ca](mailto:andrew.davison@auc.ab.ca).

### NOTICE

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier than receipt of confirmation of payment from the Commission and no later than 45 days after issuance. The MSA will, if applicable, also post on its website the link to any decision of the AUC respecting the specified penalty.

If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca).

### SIGNATURE

Signature:	"Original Signed"	Signature Date:	December 14, 2015
Name:	Doug Doll	Title:	Director Corporate Services and Compliance