

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 2, 2016

Payment Due Date: July 5, 2016

MSA File Number:	2016-107	Specified Penalty Amount:	\$ 10,000
Market Participant Name:	Morgan Stanley Capital Group Inc.		
Asset ID (if applicable):	MOMT	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.6	Date of Contravention:	January 9, 2016
Date of Referral/Self Report:	April 12, 2016	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 9, 2016 for the hour ending (HE) 01 settlement period, the sum of the e-tag import volumes at the start of the settlement interval was 12 MW however, the declared available capability (AC) of the MOMT import asset as stated two hours prior to the start of the settlement interval was 0 MW. ISO rule 203.6 indicates that a pool participant must submit e-tags for an energy interchange transaction such that the sum of the e-tag volumes agrees with the available capability (AC) of the asset as stated two hours prior to 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 January 9, 2016.
2. AESO information request issued to Morgan Stanley Capital Group Inc. dated March 15, 2016.
3. Morgan Stanley Capital Group Inc.'s response to the AESO information request dated April 7, 2016.
4. Referral from the AESO to the MSA dated April 12, 2016.

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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Andrew Davison (Senior Market Analyst) 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 2, 2016
Name:	Doug Doll	Title:	Director Corporate Services and Compliance