

## NOTICE OF SPECIFIED PENALTY

Date of Issue: September 23, 2021		Payment Due Date: October 25, 2021	
MSA File Number	2021-259	<b>Specified Penalty Amount</b>	<b>\$1,500</b>
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 Section	203.6	Date of Contravention	January 1, 2021
Date of Referral/Self Report	June 29, 2021	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

### EVENT DETAILS

For the HE 01 settlement interval on January 1, 2021, Morgan Stanley Capital Group Inc. declared an import offer of 120 MW for the MOMT asset two hours prior to the start of the settlement interval. The associated e-tags for MOMT indicate that 150 MW flowed from Montana to Alberta during HE 01. Section 203.6 of the ISO rules states in part:

- 6(3) A pool participant must submit one (1) or more e-tags for an energy interchange transaction such that the final total amount in MW agrees with the available capability of the single source asset:
- (a) as stated two (2) hours prior to the start of the settlement interval; or
  - (b) as may be restated in accordance with the provisions of this section 203.6, but in any event the final total amount in MW must not exceed the available capability of the single source asset as stated at two (2) 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 section 203.6 of the ISO rules.

### MATERIAL FACTS

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

1. E-tag data and AESO available capability and offer data for MOMT for January 1, 2021.
2. AESO information request issued to Morgan Stanley Capital Group Inc., dated May 31, 2021.
3. Morgan Stanley Capital Group Inc.'s response to the AESO information request, dated June 17, 2021.
4. Referral from the AESO to the MSA dated June 29, 2021.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made payable to the "General Revenue Fund c/o Minister of Finance", and delivered to Alberta Energy at: 9945 – 108 Street NW, Edmonton, Alberta, T5K 2G6. The payment should reference this Notice of Specified Penalty and related MSA File #. Electronic copies of the payment and confirmation of delivery should be sent by email to [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca) and [enforcement@auc.ab.ca](mailto:enforcement@auc.ab.ca). Questions can be directed to [compliance@albertamsa.ca](mailto:compliance@albertamsa.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	September 23, 2021
Name	Andrew Wilkins	Title	Director, Compliance