

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 14, 2023		Payment Due Date: December 14, 2023	
MSA File Number	2023-147	Specified Penalty Amount	\$5,000
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 Section	203.6	Date of Contravention	January 6, 2023
Date of Referral/Self Report	April 5, 2023	This is the third contravention by this asset for this section of the ISO rules within a rolling 12-month period.	

MSA FINDINGS

For the HE 01 settlement interval on January 6, 2023, Morgan Stanley Capital Group Inc. submitted e-tags for an energy transaction which did not agree with the available capability of the MOMT asset as stated two hours prior to the start of the settlement interval. 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.

[...]

The MSA is satisfied that the conduct was a contravention of section 203.6 of the ISO rules.

DELIVERY OF PAYMENT

Payment can be made by electronic funds transfer (EFT). Please reach out to compliance@albertamsa.ca for instructions. When submitting the EFT, please send an email to azeez.z.salawu@gov.ab.ca, compliance@albertamsa.ca and enforcement@auc.ab.ca noting the dollar amount, date of the EFT, market participant name and the MSA File #. Questions can be directed to 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.

APPROVED BY

Mark Nesbitt, Director, Enforcement on November 14, 2023