

COMPLIANCE ISSUES FOR DECISION

DATE: 05 May 2016
RESPONSIBILITY: Chief Executive Officer

COMPLIANCE ISSUES SUMMARY TABLE:

Breach	Description	Recommendation
<p>Apparent breach of Rules 188(3) and 197(2) of the Retail Market Rules by APTFM on gas day 29/03/16 and 06/04/2016</p>	<p>APT Facility Management (“APTFM”) had two compliance matters with the Retail Market Rules in late March and early April 2016:</p> <p>(1) APTFM provided user’s pipeline nomination amount (“UPNA”) and user’s allocation instructions (“UAI”) files on 29/02/16 for gas day 29/03/16 for the Parmelia Pipeline. APTFM revised their UAI on 13/03/16 and the revised UAI did not include an allocation for the Parmelia Pipeline. This appears to be a breach by APTFM of Rule 188(3).</p> <p>(2) APTFM nominations for gas day 06/04/16 did not have a UPNA. This appears to be a breach of Rule 197(2). This caused a 799GJ Swing Service spike for gas day 29/03/2016 and 06/04/2016.</p>	<p>Submissions were called for, and the submission window closed on 04/05/16.</p> <p>One submission was received from Synergy who noted that no material impact due to the apparent Rule breach.</p> <p>This indicates that there was no material impact to participants as a result of this incident.</p> <p>Therefore REMCo exercises its discretion under Rule 329 to take no further action in this matter.</p>

COMPLIANCE ISSUES:

1. Rule breaches reported by REMCo:

- a. Apparent breach of Rules 188(3) and 197(2) of the Retail Market Rules by APTFM on gas day 29/03/16 and 06/04/16.**

Description	See the description above.
Action taken	<p>APTFM has a manual nomination system (with CSV files being uploaded to GRMS), and will apply increased due diligence on weekends and public holidays are submitted properly going forward.</p> <p>REMCo issued a notice to the market on 20/04/16 regarding the apparent Rule breach, and requested submissions from participants to indicate whether they had been adversely impacted by the apparent Rule breach. The consultation period for this notice elapsed on 04/05/16.</p>
Impact	<p>One submission was received from participants in response to the request for submissions. This submission noted that no material impact due to the apparent Rule breach.</p> <p>REMCo therefore considers that the incident did not have a material impact on market participants.</p>

Decision	REMCo exercises its discretion under Rule 329 to take no further action in relation to this matter.
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