

## Standards of Conduct Deviation or Disclosure Report Form

Pursuant to 18 C.F.R. Section 358.7(a)(1), NIPSCO's Transmission Function is reporting the following deviation from their FERC Standards of Conduct.

### Information about the Event Being Reported:

(a) Date of Event: January 16, 2009

(b) Time of Event: Approximately 11:00 AM CST

(c) If you believe the deviation from the Standards of Conduct or the disclosure of information to a marketing function employee that you are reporting was due to an emergency situation, please check here: \_\_\_\_\_. If you are uncertain, check here: \_\_\_\_\_.

(d) Please list those involved in the event. Please list company personnel as well as anyone involved from outside the company. Those marketing function employees to whom any information disclosures were made should be listed.

Brendan Donovan, Manager of Market Issues and Strategies for NIPSCO, Matthew Mamula, Energy Resource Trader for NIPSCO Trading and Energy Management and John Harpending, Power Trader of NIPSCO Trading and Energy Management

(e) Please describe the event. If it involved the disclosure of information to marketing function employees, please describe the information disclosed.

Brendan Donovan, Manager of Market Issues and Strategies for NIPSCO, permitted Matthew Mamula and John Harpending of NIPSCO Trading and Energy Management, Marketing Function Employees of NIPSCO's Transmission Function, to enter the Transmission and Generation Control Room located at in the EDCC Building at 1500 E. 165th St., Hammond, Indiana 46320, for a period of approximately five minutes. During this time, these Marketing Function Employees were not granted access to any nonpublic Transmission Function information.

March 2, 2017 -- A construction superintendent inadvertently selected the wrong email distribution list, sending non-public transmission function information to a group of Marketing Function Employees. This non-public transmission function information contained eight proposed line clearances. With one exception, all MFEs on this email immediately deleted it. However, one MFE opened the attachment to the email, and quickly closed the attachment and deleted the email and attachment when the MFE realized the email contained non-public transmission function information. NIPSCO notes that this MFE did not see the actual non-public transmission function information.

March 7, 2017 -- During training on a simulator three Marketing Function Employees were exposed for a short time to transmission function information. This information included a map of the transmission lines and alarms indicating that breakers were operating. When the MFEs discovered they were viewing transmission function information, the MFEs closed the simulator screens, informed the engineer conducting the exercise that there was an error, and left the room. While this simulator was using an historical operating case with old data, NIPSCO believes that the data in question could be considered non-public transmission function information and is therefore making this posting.

On 04/07/2017 three Marketing Function Employees received an email containing non-public transmission functions information. While all three MFEs opened the email, only one accessed the n-pTFI portion of the document. The email was forwarded to the MFEs inadvertently and mitigation measures are being implemented to ensure such disclosure does not happen in the future. The email contained a Transmission System Supervisor Turnover Log for 04/05/2017, which is included below:

Date: 04/05/2017 Shift: 1
Transmission System Supervisor: CR\j
<b>Computer/Communications:</b> MUNSTER TOWER LIGHT FAILED - REPORTED TO FAA, NOTEM # 04/002 GOOD UNTIL 5/5/17 NORTH WEBSTER LIGHT FAILED - REPORTED TO FAA, NOTEM # 04/051 GOOD UNTIL 5/5/17  AT DUNE ACRES - #3 XFR MW NUMBERS IN SUBSTITUTE  LAKE COUNTY SOLAR RTU BACK UP BUT NO MW READING DUE TO NEEDED METER REPLACEMENT WOLF LAKE MICROWAVE BUILDING BROKE INTO. DMITRY MADE NOTIFICATIONS TO SECURITY AND BUILDING HAS BEEN SECURED. FACILITIES WILL MAKE PERMANENT REPAIRS WEDNESDAY 4/05/17 PER DMITRY.
<b>Switching Highlights :</b> SIGNIFICANT SWITCHING: -----  SIGNIFICANT HOLDOVERS: ----- T-0084 CLR 345 CIRCUIT #1 OLIVE / MEADOW LAKE [AEP WORK] T-0165 CLR 345 CIRCUIT #1 OLIVE / MEADOW LAKE [AEP WORK]
<b>Miscellaneous:</b> 34509 TO 1195 [E-0075] 34513 TO 1195 [E-0075]  CONTINGENCIES: ----- 6966 flo 138-109 REYNOLDS - MAGNETATION, IN CLOGGER, BINDING ON WIND GOODLAND XFR flo 13857 IN CLOGGER 13839 flo WILTON-DUMONT IN CLOGGER & M to M
<b>Significant Events:</b> ON 3/12/17 AT 1410 CST, MAGNETATION 138109-NO#1 XFR BKR ON 1 SHOT, POWER ISSUES TO RECHARGE COIL, TO BE ADDRESSED ON 3/13/17 ON 3/20/17 AT WOLF LAKE SUBSTATION, BREAK IN WAS REPORTED BY the S O C TO the POLICE. STEVE PACKOVSKI. SENT A REPORT, MINIMAL DAMAGE MAGNETATION 13847-#1 XFR BKR NEEDS NEW AC FEED, IN ALM, WILL FIX 03-20-17  MONTICELLO #1 AND #2 XFR's LTC's IN MANUAL AND LIKE TAP, TECH SERVICE TO CHECK CONTROL.  UNIT 10 UNAVAILABLE DUE TO EXHAUST END OIL FIRE 4/4/17  2017 VACATION PICK - NEXT PICK: BRIAN

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