

Attachment A

Index of Administrative Record

Federal Energy Regulatory Commission v. Powhatan Energy Fund, L.L.C. et al.
Case 3:15-cv-00452-MHLVAED

TAB	DESCRIPTION	BATES NO.
7.	OE Preliminary Findings Letter to Powhatan (“Preliminary Findings of Enforcement Staff’s Investigation of Up To Congestion Transactions”) (Aug. 9, 2013)	AR_000242-269
8.	Powhatan Response to Preliminary Findings (Letter Re: “Preliminary Findings of Enforcement Staff’s Investigation of Up To Congestion Transactions”) (Oct. 8, 2013)	AR_000270-277
9.	Chen Response to Preliminary Findings (Letter Re: “Preliminary Findings of Enforcement Staff’s Investigation of Up To Congestion Transactions”) (Oct. 9, 2013)	AR_000278
10.	OE 1b.19 Notice to Powhatan (Letter Re: “Investigation of Up To Congestion Transactions”) (Aug. 7, 2014)	AR_000279-281
11.	OE 1b.19 Notice to Chen (Letter “Re: Investigation of Up To Congestion Transactions”) (Aug. 15, 2014)	AR_000282-284
12.	Powhatan Response to 1b.19 Notice (Letter “Re: Enforcement Staff’s Investigation of Up to Congestion Transactions”) (Sep. 24, 2014)	AR_000285-287
13.	Chen Response to 1b.19 Notice (Letter “Re: FERC Enforcement Staff’s Investigation of Up to Congestion Transactions”) (Sep. 24, 2014)	AR_000288-392
14.	Order to Show Cause and Notice of Proposed Penalty (Dec. 17, 2014)	AR_000393-485
15.	Notice of Designation of Commission Staff as Non-Decisional (Dec. 17, 2014)	AR_000486-487
16.	Revised Order to Show Cause and Notice of Proposed Penalty (“Order Revising Show Cause Order”) (Dec. 18, 2014)	AR_000488-490
17.	Chen and Powhatan Expedited Motion for Thirty-Day Extension of Time (Dec. 24, 2014)	AR_000491-494
18.	OE Answer to Expedited Motion for Extension of Time (“Answer of Enforcement Staff to Expedited Motion for Thirty-Day Extension of Time”) (Dec. 29, 2014)	AR_000495-497
19.	Notice of Extension of Time (Dec. 31, 2014)	AR_000498-499
20.	OE Submission of Non-Public Investigative Materials to the Commission and Decisional Staff (“Submission of Non-Public Investigative Materials”) (Jan. 2, 2015) <i>Attachments provided electronically – see Folder 020A of enclosed flash drive.</i>	AR_000500-509
21.	Respondents’ Notice of De Novo Election (Jan. 12, 2015)	AR_000510-512
22.	Chen and Powhatan Expedited Motion for a Two-Week Extension of Time (Jan. 27, 2015)	AR_000513-530
23.	OE Answer to Motion for Extension (“Answer in Opposition to Expedited Motion for Two-Week Extension of Time”) (Jan. 29, 2015)	AR_000531-542

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TAB	DESCRIPTION	BATES NO.
24.	OE Answer to Motion for Extension, With Attachments (Public and Non-Public) (Jan. 29, 2015) ³ <i>Voicemails provided electronically – see Folder 024A of enclosed flash drive.</i>	AR_000543-855
25.	Chen and Powhatan Reply to Enforcement’s Answer in Opposition to Motion for Extension of Time (“Reply to Enforcement’s Answer in Opposition”) (Jan. 29, 2015)	AR_000856-858
26.	Notice of Denial of Second Extension of Time (Jan. 30, 2015)	AR_000859-860
27.	OE Corrected Answer to Motion for Extension of Time (“Corrected Public Version of January 28, 2015 Answer”) (Feb. 2, 2015)	AR_000861-1138
28.	Powhatan Answer to Show Cause Order (“Powhatan Energy Fund LLC’s Response in Opposition to Order to Show Cause and Notice of Proposed Penalty”) (Feb. 2, 2015)	AR_001139-1242
29.	Chen Answer to Show Cause Order (“Answer to Show Cause Order and Request for Oral Argument”) (Feb. 2, 2015) <ul style="list-style-type: none"> • Exhibit A, Affidavit of Houlian Chen • Exhibit B, Statement of Susan J. Court, Esq. • Exhibit C, Statement of Jeffrey H. Harris, Ph.D. • Exhibit D, Statement of Larry Harris, Ph.D. • Exhibit E, Statement of Terrence Hendershott, Ph.D. • Exhibit F, Statement of William W. Hogan, Ph.D. • Exhibit G, Statement of David Hunger, Ph.D. • Exhibit H, Statement of Stewart Mayhew, Ph.D. • Exhibit I, Statement of Craig Pirrong, Ph.D. • Exhibit J, Statement of Roy Shanker, Ph.D. • Exhibit K, Statement of Chester S. Spatt, Ph.D. • Exhibit L, Statement of Richard D. Tabors, Ph.D. • Exhibit M, Statement of Richard G. Wallace, Esq. 	AR_001243-1589
30.	Protest of Eric S. Morris (Feb. 4, 2015)	AR_0011590-1592
31.	Chen Supplemental Answer to Show Cause Order (Feb. 9, 2015)	AR_001593-1596
32.	Chen Letter to Commission (Letter “Re: Houlian Chen, et al.”) (Feb. 19, 2015)	AR_001597-1599

³ As originally filed, Attachment B-3 to this Answer was filed non-publicly, to avoid publicly identifying by name another market participant that may have engaged in improper trading. The Commission has subsequently publicly identified that other market participant, so there is no longer any need to withhold its identity from the public. See <http://www.ferc.gov/enforcement/alleged-violation/notices.asp>.

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TAB	DESCRIPTION	BATES NO.
33.	OE Reply to Respondents' Answers to Order to Show Cause ("Reply of Enforcement Staff to Answers of Houlian Chen, et al.") (Mar. 2, 2015)	AR_001600-1703
34.	OE Revised Reply to Respondents' Answers to Order to Show Cause ("Revised Reply of Enforcement Staff to Answers of Houlian Chen, et al.") (Mar. 3, 2015)	AR_001704-1808
35.	OE Filing of Supplemental Investigative Materials ("Supplemental Submission of Investigative Materials"); Associated filings (35A & B) (Mar. 3, 2015) <i>Attachments provided electronically – see Folder 035C of enclosed flash drive.</i>	AR_001809-2142 A. AR_002143-2146 B. AR_002147-2149
36.	Chen Reply to Enforcement's Reply to Answers to Order to Show Cause ("Alan Chen's reply to Enforcement") (Mar. 18, 2015) (<i>not accepted by the Commission</i>)	AR_002150-2399
37.	Comments of PJM Interconnection, L.L.C. to Order to Show Cause ("Comments of PJM Interconnection, L.L.C.") (Apr. 1, 2015)	AR_002400-2406
38.	Chen Answer to PJM Comments (Apr. 14, 2015)	AR_002407-2410
39.	Chen Citation of Supplemental Authority (Apr. 23, 2015) (<i>not accepted by the Commission</i>)	AR_002411-2414
40.	Order Assessing Civil Penalties (May 29, 2015)	AR_002415-2504
41.	Filing by Eric S. Morris Requesting Clarification (Jun. 1, 2015)	AR_002505-2506
42.	Order Denying Clarification (Oct. 26, 2015)	AR_002507-2510
INVESTIGATIVE TESTIMONY⁴		
43.	Serge Picard Testimony (Sep. 10, 2010) - <i>Redacted⁵</i>	AR_002511-2673
44.	Lawrence Eiben Testimony (Sept. 23, 2010) Exhibits 1 & 2	AR_002674-2697
45.	Kevin Gates Testimony Vol. I (Sept. 23, 2010) Exhibits 1 & 2	AR_002698-2730
46.	Alan Chen Testimony Vol. I (Oct. 7, 2010) Exhibits 1 & 2	AR_002731-2783
47.	Robert Steele Testimony (Apr. 7, 2011) Exhibits 1-8	AR_002784-2894
48.	Alan Chen Testimony Vol. II (July 20, 2011) Exhibits 1-6, 13, 16-18, 21-22, 35, 37, 40-50	AR_002895-3091

⁴ Investigative Testimonies were provided for the Commission's consideration as part of the Investigative Record. Materials filed as part of the Investigative Record – including the Investigative Testimonies – are provided electronically in Folder 020A of the enclosed flash drive.

⁵ This transcript was provided to the Parties and to the Commission in redacted form. It was not redacted for the purpose of filing with this Court.

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TAB	DESCRIPTION	BATES NO.
49.	Kevin Gates Testimony Vol. II (Sep. 7, 2011) Exhibits 3-17, 21-27	AR_003092-3220
50.	Richard Gates Testimony Vol. I (May 7, 2012) Exhibits 1 & 2	AR_003221-3259
51.	Chao Chen Testimony Vol. I (May 8, 2012) Exhibits 202-204, 208, 210, 213, 216, 219, 221-222, 230-232, 234, 238, 243-244, 246-248, 250-251	AR_003260-3374
52.	Richard Gates Testimony Vol. II (May 8, 2012) Exhibits 3-8	AR_003375-3436
53.	Gregory Sekelsky Testimony Vol. I (May 8, 2012) Exhibits 1-4	AR_003437-3462
54.	Richard Tabors Testimony Vol. I (May 14, 2012) Exhibits 1-3	AR_003463-3562
55.	Richard Wallace Testimony Vol. 1 (May 14, 2012) Exhibits 1-9	AR_003563-3639
DATA REQUESTS & RESPONSES⁶		
Chen Data Requests and Responses		
56.	OE First Data Request to Chen (Data Requests 1-4) (“Document Preservation Directive and First Data Request to HEEP Fund Inc. and CU Fund Inc.”) (Aug. 18, 2010)	AR_003640-3648
57.	Chen Responses to OE First Data Request (Data Requests 1-4) (Letter “Re: Document Preservation Directive and First Data Request to HEEP Fund Inc. and CU Fund Inc.”) (Aug. 19, 2010)	AR_003649-3654
58.	OE Second Data Request to Chen (Data Requests 1-16) (Nov. 24, 2010)	AR_003655-3669
59.	Chen Responses to OE Second Data Request (Data Requests 1-16) (Dec. 13, 2010)	AR_003670-3684
60.	OE Third Data Request to Chen (Data Requests 17-25) (Nov. 17, 2011)	AR_003685-3699
61.	Chen Responses to OE Third Data Request (Data Requests 17-25) (Dec. 2, 2011)	AR_003700-3713

⁶ Data Requests issued by the Office of Enforcement and the Respondents’ Responses to those Requests were provided to the Commission for its consideration as part of the Investigative Record (*see* OE Submission of Non-Public Investigative Materials to the Commission and Decisional Staff, Tab 20 and OE Filing of Supplemental Investigative Materials, Tab 35). All data requests and responses are being filed electronically. See electronic file Folders 020A and 035A on the enclosed flash drive. In addition, for ease of reference, a hard copy of each Data Request and narrative Response is being provided and is listed in this Index. In addition, a hard copy of each document provided as part of a Data Response that was cited by the Commission or by one of the parties is also being provided in hard copy and is listed separately in this Index under the heading “Cited Materials (from the Record): Bates-Stamped Materials.”

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TAB	DESCRIPTION	BATES NO.
62.	Chen Supplemental Response to OE Third Data Request (Data Requests 17, 18, and 20) (Feb 17, 2012)	AR_003714-3721
63.	Chen Responses to Subpoena (Dec. 23, 2013)	AR_003722-3727
Powhatan Data Requests and Responses		
64.	OE First Set of Data Requests to Powhatan – Initial Notice (Aug. 18, 2010)	AR_003728-3736
65.	Powhatan Responses to OE First Data Request (Data Requests 1-4) (“Responses to Office of Enforcement Data Request Dated August 18, 2010”) (Aug. 25, 2010)	AR_003737-3741
66.	OE Second Data Request to Powhatan (Data Requests 1-13) (Nov. 8, 2010)	AR_003742-3754
67.	Powhatan Responses to OE Second Data Request (Data Requests 1-13) (Nov. 22, 2010)	AR_003755-3775
68.	Powhatan Supplemental Responses to OE Second Data Request (Data Requests 11& 13) (Dec. 17, 2010)	AR_003776-3934
69.	OE Third Data Request to Powhatan (Data Requests 14-20) (Oct. 31, 2011)	AR_003935-3948
70.	OE Third Data Request to Powhatan (Data Requests 14-20) (Nov. 1, 2011)	AR_003949-3961
71.	Powhatan Responses to OE Third Data Request (Data Requests 14-20) (Nov. 14, 2011)	AR_003962-3965
72.	OE Follow-Up Letter to Powhatan re Third Data Request (Data Requests 14-20) (Nov. 16, 2011)	AR_003966-3967
73.	Powhatan Responses to OE Third Data Request (Data Requests 14-20) (Nov. 29, 2011)	AR_003968-3972
74.	OE Follow-Up Letter to Powhatan re Third Data Request (Data Requests 14-20) (Dec. 3, 2011)	AR_003973-3974
75.	OE Fourth Data Request to Powhatan (Data Requests 21-23) (Apr. 17, 2012)	AR_003975-3984
76.	Powhatan Responses to OE Fourth Data Request (Data Requests 21-23) (Apr. 30, 2012)	AR_003985-3989
PJM Data Requests and Responses		
77.	PJM Responses to OE Oct. 28, 2010, Conference Call (DRs 1-3) (Nov. 9, 2010)	AR_003990-3993
78.	PJM Response to OE Third Data Request (Data Requests 1, 2 & 4) (Jan. 19, 2011)	AR_003994-3999
79.	PJM Supplemental Responses to OE Second Data Request (Data Requests 1-2, 4, 6, 9-11, 13, 19-22) (Feb. 1, 2011)	AR_004000-4024
80.	PJM Supplemental Responses to OE Third Data Request (Data Requests 1) (Feb. 4, 2011)	AR_004025-4030
81.	PJM Supplemental Responses to OE Third Data Request (Data Requests 1) (Mar. 3, 2011)	AR_004031-4035

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TAB	DESCRIPTION	BATES NO.
81A.	PJM Responses to OE Fourth Data Requests (Data Requests 2, 4, 5, & 7) (Sep. 20, 2011)	AR_4036-4045
81B.	PJM Responses to OE Fifth Data Requests (Data Requests 1-28) (May 2, 2012)	AR_004046-4072.5
Third Party Data Requests and Responses		
82.	OE Data Request to Robert Steele (Data Requests 1-15) (Apr. 24, 2012)	AR_004073-4084
83.	Steele Response to Data Request (Data Requests 1-7, 11-15) (Jun. 28, 2012)	AR_004085-4237
84.	OE Data Request to Bryan Hansen (Data Requests 1-16) (Nov. 19, 2014)	AR_004238-4255
85.	Hansen Responses to Data Request (Data Requests 1-16) (Dec. 8, 2014)	AR_004256-4259
CITED MATERIALS (FROM THE RECORD)		
CORRESPONDENCE BETWEEN STAFF & PARTIES IN IN10-5 & IN15-3⁷		
86.	Letter on behalf of Powhatan to OE re PJM Up-To Congestion Transactions, Docket No. IN10-5 (Letter "Re: In re PJM Up-to Congestion Transactions") (Jan. 13, 2012)	AR_004260-4262
87.	Email Exchange between Counsel for Powhatan and OE (Aug. 22, 2013)	AR_004263-4264
88.	Email Exchange between Counsel for Powhatan and OE (Aug. 30, 2013)	AR_004265-4266
89.	Email from B. Hansen to J. Owens (Dec. 8, 2014)	AR_004267-4270
BATES-STAMPED MATERIALS⁸		
90.	Resume of Kevin Gates (POW00000019)	AR_004271-4272
91.	Powhatan/LSE Capital Management Business License and SEC Form D (POW00001445 - 54& POW00001325)	AR_004273-4283
92.	TFS Capital, Virginia State Corporation Commission	AR_004284-4285

⁷ Extensive correspondence between the parties was provided to the Commission for its consideration as part of the Investigative Record. For brevity, rather than listing each item of correspondence, this Index lists only correspondence that was relied upon by the Commission in its Orders, or cited by the parties in their pleadings. The remaining correspondence can be located on the flash drive enclosed herewith, in electronic Folder 020A in the subfolder labeled "Correspondence".

⁸ The items listed below were produced in connection with Data Responses and were either relied upon by the Commission in its Orders, or were cited by the parties in their pleadings. All Data Responses produced by the Respondents were available for the Commission's consideration as part of the Investigative Record that was filed in Docket No. IN15-3-000. Those materials are provided electronically in Folders 020A and 035C on the enclosed flash drive.

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TAB	DESCRIPTION	BATES NO.
	Documents (POW00001492)	
93.	Email Exchange between Bob Steele and Kevin Gates (Aug. 5, 2010) (STEELE000008)	AR_004286
94.	Advisory Agreement between HEEP and Powhatan (POW00000067-70) (May 18, 2010)	AR_004287-4290
95.	Advisory Agreement between HEEP and TFS Capital (POW00000071-73) (May 1, 2008)	AR_004291-4293
96.	Daily and Monthly Trading Reports “PJM Trading Volume and P &L” (POW00000488-91)	AR_004294-4297
97.	Kevin Gates Responsibility List (POW000007910)	AR_004298-4299
98.	Email exchange between Chen, Kevin Gates et al. (POW00008996) (Jul. 22, 2008)	AR_004300-4301
99.	Email exchange between Chen and Kevin Gates (POW00015552-4) (Jul. 22, 2008)	AR_004302-4304
100.	Email exchange between Kevin Gates, Chao Chen, Chen (POW0017336) (Oct. 6, 2008)	AR_004305
101.	Email exchange between Chen and Kevin Gates (POW00015175) (Oct. 12, 2008)	AR_004306
102.	Email exchange between Kevin Gates and Chen (POW00017242) (Jun. 9, 2009)	AR_004307-4311
103.	Non-Disclosure Agreement (POW00000074-75) (Jul. 3, 2009)	AR_004312-4314
104.	Email exchange between Kevin Gates and Richard Gates et al. (POW00008242-8245) (Dec. 8, 2009)	AR_004315-4318
105.	Email exchange between Kevin Gates and Richard Gates et al. (POW00007907-7914) (Feb. 26, 2010)	AR_004319-4326
106.	Email exchange between Kevin Gates and Chen (POW00016981) (Mar. 5, 2010)	AR_004327-4328
107.	Email exchange between Kevin Gates and Chen (POW00016599) (Mar. 5, 2010)	AR_004329-4331
108.	Email exchange between Kevin Gates and Chen (POW00012123-12128) (Feb. 19, 2010 - Mar. 5, 2010)	AR_004332-4337
109.	Email exchange between Chen and Kevin Gates (POW00011676 - 683) (Mar. 5, 2010)	AR_004338-4345
110.	Email exchange between Kevin Gates and Richard Gates et al. (POW00007936) (Mar. 5, 2010)	AR_004346
111.	Email exchange between Kevin Gates and Richard Gates et al. (POW00008000) (Mar. 19, 2010)	AR_004347
112.	Email exchange between Kevin Gates and Alan Chen (POW00016931) (Mar. 19, 2010)	AR_004348-4353
113.	“Rampin’ Up With Alan Chen” Presentation by Kevin Gates (POW00008001-7) (Mar. 19, 2010)	AR_004354-4360
114.	Email exchange between Kevin Gates and Richard Gates (POW00007990) (Mar. 21, 2010)	AR_004361-4363
115.	Email exchange between Alan Chen and Kevin Gates	AR_004364-4369

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TAB	DESCRIPTION	BATES NO.
	(POW00012111) (Mar. 23, 2010)	
116.	Email exchange between Kevin Gates et al., Chen (POW00012103) (Mar. 23, 2010)	AR_004370-4377
117.	Email exchange between Chen and Kevin Gates (POW00016642) (Apr. 7, 2010)	AR_004378-4380
118.	Email exchange between Chen and Kevin Gates (POW00004268-69) (May 30, 2010)	AR_004381-4382
119.	Email exchange between Kevin Gates and Richard Gates et al. (POW00005758) (May 30, 2010)	AR_004383
120.	Email exchange between Alan Chen and Kevin Gates (POW00003761) (Jun. 7, 2010)	AR_004384-4398
121.	Email exchange between Kevin Gates and Richard Gates, et al. (POW00004350) (Jun. 9, 2010)	AR_004399-4400
122.	Email exchange between Chen and Kevin Gates (POW00004837) (Jun. 10, 2010)	AR_004401-4405
123.	Email exchange between Kevin Gates and Richard Gates (POW00004394) (Jun. 17, 2010)	AR_00406-4408
124.	Email exchange between Chao Chen and Richard Gates (POW00002438) (Jun. 25, 2010)	AR_00409-4416
125.	Email exchange between Kevin Gates and Kevin Byrnes (POW00001835-1838) (Jul. 26, 2010)	AR_004417-4420
126.	Email exchange between Kevin Gates and Kevin Byrnes (POW00001846-47) (Jul. 26, 2010)	AR_004421-4423
127.	Email exchange between Kevin Gates and Kevin Byrnes (POW00001849) (Jul. 26, 2010)	AR_004424-4425
128.	Email exchange between Kevin Gates and Richard Gates, et al. (POW00004041) (Aug. 2, 2010)	AR_004426-4427
129.	Email exchange between Chen and Kevin Gates (HF-014234-014235) (Aug. 2, 2010)	AR_004428-4429
130.	Email exchange between Chen and Joe Bowring (HF-00284) (Aug. 2, 2010)	AR_004430
131.	Email exchange between Chen and Joseph Bowring (HF-000292) (Aug. 6, 2010)	AR_004431
132.	Email exchange between Kevin Gates and Chen (POW00004685-4689) (Aug. 12, 2010)	AR_004432-4436
133.	Email exchange between Kevin Gates and Larry Eiben, et al. (POW00006665) (Aug. 19, 2010)	AR_004437-4438
134.	Email exchange between Bob Steele and Kevin Gates (POW00001865-1868) (Aug. 20, 2010)	AR_004439-4442

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TAB	DESCRIPTION	BATES NO.
135.	Email exchange between Chen and Kevin Gates (POW00004722) (Aug. 24, 2010)	AR_004443-4446
136.	Email exchange between Chen and Kevin Gates (POW00004874) (Aug. 24, 2010)	AR_004447-4450
CITED MATERIALS (PUBLICLY AVAILABLE MATERIALS)⁹		
MAJOR FERC ORDERS		
137.	Order No. 636, Pipeline service obligations and revisions to regulations governing self-implementing transportation and regulation of natural gas pipelines after partial well head decontrol	AR_004451-4627
138.	Order No. 636-A, Order denying reh'g in part, granting reh'g in part, and clarifying order no. 636	AR_004628-4977
139.	Order No. 636-B, Order denying reh'g and clarifying order Nos. 636 and 636-A	AR_004978-5181
140.	Order No. 636-C, Pipeline service obligations and revisions to regulations governing self-implementing transportation under part 284 and regulation of natural gas pipelines after partial wellhead decontrol	AR_005182-5263
141.	Order No. 644, Amendments to Blanket Sales Certificates, 105 FERC ¶ 61,217 (2003)	AR_005264-5291
142.	Order No. 670, Prohibition of Energy Market manipulation, 114 FERC ¶ 31,202 (2006)	AR_005292-5361
143.	Order No. 719, Wholesale Competition in Regions with Organized Electric Markets, 125 FERC ¶ 61,071 (2008)	AR_005362-5493
144.	Order No. 888, Promoting Wholesale Competition Through Open Access Non-discriminatory Transmission Services by Public Utilities and Recovery of Stranded Costs by Public Utilities and Transmitting Utilities	AR_005494-6507
145.	Order No. 888-A, Order on reh'g, 78 FERC ¶ 61,220 (1997)	AR_006508-7542
146.	Order No. 888-B, Order on reh'g, 81 FERC ¶ 61,248 (1997)	AR_007543-7660
147.	Order No. 888-C, Order on reh'g, 82 FERC ¶ 61,046 (1998)	AR_007661-7663
148.	Order No. 2001, <i>Revised Public Utility Filing Requirements</i> , FERC Stats. & Regs. ¶ 31,127 (2002)	AR_007664-7807
CASES, AUTHORITIES, & FILINGS		
149.	<i>Amanat v. Securities and Exchange Commission</i> a. In the Matter of MarketXT, Inc. and Irfan Mohammed	

⁹ The category of "Publicly Available Materials" is created for the Court's convenience, to provide copies of certain publicly-available materials which may not be easy to locate and obtain. It encompasses four subcategories: (a) major FERC orders; (b) cases, authorities, and filings, including non-major FERC orders, orders and issuances of other agencies, and filings in other proceedings; (c) materials available on the worldwide web; and (d) PJM pricing data. All of these materials were cited by the Commission or by the parties in the Show Cause Proceeding, Docket No. IN15-3-000.

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TAB	DESCRIPTION	BATES NO.
	Amanat, Securities and Exchange Commission, Initial Decision (“Amanat Initial Decision”) (Dec. 22, 2005) b. <i>Irfan Mohammed Amanat</i> , Exchange Act Rel. No. 54708, 89 SEC Docket 714 (Opinion of the Commission) (Nov. 3, 2006)	a. AR_007808-7835 b. AR_007836-7850
150.	<i>Barclays Bank PLC et al.</i> , Complaint, No. 13-02093 (E.D. Cal. Oct. 9, 2013)	AR_007851-7875
151.	<i>Black Oak Energy, L.L.C. v. PJM Interconnection, L.L.C.</i> a. Complaint of Financial Marketers against the PJM tariff provisions on the collection and allocation of marginal transmission line loss revenues, and request for fast-track processing, Docket No. EL08-14-000 (Dec. 3, 2007) b. Notice of complaint, Docket No. EL08-14-000 (Dec. 4, 2007) c. Motion to intervene, protest and request for rejection of old Dominion, Docket No. EL08-14-000 (Dec. 26, 2007) d. Motion to intervene and comments PJM Power, Docket No. EL08-14-000 (Dec. 26, 2007) e. Motion to intervene and comments of consolidated Edison, Docket No. EL08-14-000 (Dec. 26, 2007) f. Motion for leave to answer, Docket No. EL08-14-000 (Jan. 10, 2008) g. Motion for leave to answer, Docket No. EL08-14-000 (Mar. 4, 2008) h. PJM Interconnection request for clarification, Docket No. EL08-14-001 (Nov. 17, 2008) i. Answer to request, Docket No. EL08-14-001 (Dec. 2, 2008) j. Protest, Docket No. EL08-14-002 (Apr. 16, 2009) k. PJM compliance filing, Docket No. EL08-14-002 (Mar. 26, 2009) l. Request for reh’g, Docket No, EL08-14-003 (Oct. 19, 2009) m. Formal complaint, Docket Nos. Docket Nos. EL08-14-003, EL08-14-004, EL08-14-005 (Feb. 2, 010)	a. AR_007876-7906 b. AR_007907-7908 c. AR_007909-7914 d. AR_007915-7931 e. AR_007932-7944 f. AR_007945-7976 g. AR_007977-7986 h. AR_007987-7994 i. AR_007995-8011 j. AR_008012-8036 k. AR_008037-8054 l. AR_008055-8101 m. AR_008102-8128
152.	<i>Black Oak v. FERC</i> , No. 08-1386, slip opinion (D.C. Cir. Aug. 6, 2013)	AR_008129-8154
153.	<i>Cal. Indep. Sys. Operator Corp. (CAISO)</i> a. Unpublished letter order, Docket No. ER11-3510 (May 27, 2011) b. Amendments to California ISO FERC Electric Tariff to Enable Settlement Rule for Schedules Sourcing and Sinking in the Same Balancing Authority Area, Docket No. ER13-449-000 (Nov. 21, 2012)	a. AR_008155-8156 b. AR_008157-8208

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TAB	DESCRIPTION	BATES NO.
154.	<i>Disposition by Summary Order, Local Rule 32.1.1(a) of U.S. Court of Appeals for 2nd Circuit</i>	AR_008209
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156.	<i>EPIC Merchant Energy v. PJM Interconnection, Request for Reh'g, Docket No. EL10-40-001 (Jun. 9, 2010)</i>	AR_008239-8263
157.	<i>IAT Reinsurance Co. v. U.S., Amended Answer, Docket No. 13-282 (Ct. Cl. Dec. 13, 2013)</i>	AR_008264-8292
158.	<i>In re Matter of Bilello, CFTC Docket No. 93-5, 1997 CFTC LEXIS 244, 1997 WL 693557 (Oct. 10, 1997)</i>	AR_008293-8310
159.	<i>In the Matter of Newbridge Securities Corp., Guy S. Amico, Scott H. Goldstein, Eric M. Vallejo, And Daniel M. Kantrowitz, SEC Admin. Proc. File No. 3-13099 (2009) (Initial Decision)</i>	AR_008311-8383
160.	<i>In the Matter of Technical Conference on Centralized Capacity Markets in Regional Transmission Organizations and Independent System Operators, Docket No. AD13-7-000 (Sep. 25, 2013)</i>	AR_008384-8964
161.	<i>Kellogg</i> a. NASD Press Release, NASD Charges Peter Kellogg with Fraudulent Wash and Matched Trades (Nov. 5, 2003) b. Hearing Panel Decision, No. CMS030257 (Aug. 6, 2004) c. FINRA press release, NASD Hearing Panel Dismisses Complaint against Peter Kellogg (Aug. 6, 2004)	a. AR_008965-8966 b. AR_008967-8983 c. AR_008984
162.	Letter from Members of the Committee on Energy and Commerce of the U.S. House of Representatives (Sep. 23, 2013)	AR_008985-8989
163.	<i>Lincoln Paper and Tissue, LLC, et. al. (Day Ahead Load Response Program, DALRP)</i> a. <i>FERC v. Lincoln Paper</i> , No. 1:13-cv-13056 (D. Mass. Dec. 2, 2013) (Complaint) b. <i>FERC v. Silkman</i> , No. 1:13-cv-13054 (D. Mass Dec. 2, 2013) (Complaint) c. <i>FERC v. Lincoln Paper</i> , No. 1:13-CV-13056-DPW (D. Mass Mar. 14, 2014) (FERC Opp'n to Resp's Mot. To Dismiss) (citing <i>United States v. Meyer</i> , 808 F.2d 912, 914 (1st Cir. 1987)) d. <i>FERC v. Silkman</i> , No. 1:13-CV-13054-DPW (D. Mass. Jan. 9, 2014) (FERC Opp'n to Resp's Mot. to Dismiss) e. <i>FERC v. Silkman</i> , Nos. 13-cv-13054, 13-cv-13056 (D. Mass. July 18, 2014) (Transcript of Hearing)	a. AR_008990-9095 b. AR_009096-9119 c. AR_009120-9166 d. AR_009167-9214 e. AR_009215-9285
164.	<i>Manipulative and Deceptive Quotations, FINRA Rule 5210.01 (2014)</i>	AR_009286

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165.	<i>Nat'l Fuel Mktg. Co., LLC, et al.</i> , Answer of Nat'l Fuel Mktg in Opp'n. to Order to Show Cause & Notice of Proposed Penalties & Alt. Mot. for a Formal Evidentiary Trial-Type Hr'g Fefore an Admin. Law Judge and Request for Reh'g, Docket No. IN09-10-000 (Feb. 17, 2009)	AR_009287-9400
166.	<i>PJM Interconnection, L.L.C.</i> a. PJM Compliance Filing, Docket No. ER00-1849-000 (Mar. 10, 2000) b. Comments of the independent market monitor for PJM, Docket No. ER13-1654 (Jul. 1, 2013) c. PJM Ans., Docket No. ER13-1654-000 (July 15, 2013) d. Monitoring Analytics ans. and mot. for leave to ans., Docket No. ER13-1654-000 (Aug. 2, 2013) e. Report on the impact of virtual transactions, Docket No. ER13-1654-000 (Feb. 7, 2014)	a. AR_009401-9732 b. AR_009733-9745 c. AR_009746-9761 d. AR_009762-9783 e. AR_009784-9805
167.	<i>PJM Manual 11</i>	AR_009806-9995
168.	Revisions to Amended and Restated Operating Agreement of PJM Interconnection, L.L.C., <i>PJM Interconnection, L.L.C.</i> , Docket No. ER10-2280-000 (filed Aug. 18, 2010). ¹⁰	AR_009996-10024
169.	<i>SEC</i> : a. Release No. 34-48363, File No. SR-PCX-2003-39 (Aug. 19, 2003) b. Release No. 34-48459, File No. SR-Phlx-2003-61 (Sep. 8, 2003) c. Release No. 34-49358, File No. SR-Amex-2004-09 (Mar. 3, 2004) d. Release No. 34-50175, File No. SR-CBOE-2004-38 (Aug. 10, 2004) e. Release No. 34-60388, File No. S7-30-08 (Jul. 31, 2009)	a. AR_010025-10028 b. AR_010029-10034 c. AR_010035-10039 d. AR_010040-10052 e. AR_010053-10152
170.	<i>SEC v. Ficeto</i> , Complaint, No. CV 11-1637 (C.D. Cal. 2011)	AR_010153-10208
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¹⁰ The specific page cited, PJM Operating Agreement Schedule 1, Section 1.10.1(b), Fourth Revised Sheet No. 355 (Superseded, Sep. 17, 2010), is found at page 21 of Tab 168 (AR_010017) and of the electronically-provided PDF file.

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175.	CFTC Glossary, available at: http://www.cftc.gov/consumerprotection/educationcenter/cftcgloss ary/index.htm	AR_01246-10295
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206.	Market monitor Report Nov. 17, 2014 https://www.pjm.com/~media/committees-groups/committees/mc/20141117-webinar/20141117-item-06-market-monitor-report.ashx	AR_014004-14025
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PJM LMP DATA¹¹		
241.	PJM Day Ahead LMP Data <i>Provided electronically. See Folder 241 on the enclosed flash drive.</i>	N/A

¹¹ Parties and the Commission relied upon PJM Locational Marginal Price (“LMP”) data for certain locations during the period July 1, 2005 – August 31, 2014. The LMP data set provided in this Administrative Record encompasses all pricing nodes referenced in the Parties’ filings or the Commission’s orders, but does not encompass every single pricing node in PJM. PJM LMP data is publicly-available through the PJM website. See <https://dataminer.pjm.com/dataminerui/pages/public/lmp.jsf>.

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TAB	DESCRIPTION	BATES NO.
242.	PJM Real Time LMP Data <i>Provided electronically. See Folder 242 on the enclosed flash drive</i>	N/A