# ('erg(er el sir raint astrony)

Acces ID (Completely)	6006	C-15 Danash	□ vec ⊠ No
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	April 23, 2009
Date of Referral/Self Report:	N/A	This is the 179 contravention by this asset for this rule within a rolling 1 month period.	
		WENT DETAILS	-

On April 23, 2009 an offer restatement was submitted for SPBC asset at 23:44 which increased the available capability (AC) for the asset within the T-2 window for April 24, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW. 150 rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

# FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for April 23, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darindow theres auciabica.

#### 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. S(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

SIGNATURE

Signature Date: July 16, 2010 Signature:

Title: Manager Investigations Name:

# North of the anich levels

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-178	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Seif Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	April 23, 2009
Date of Referral/Self Report:	N/A	This is the 178 contravention by this asset for this rule within a rol month period.	

#### EVENT DETAILS

On April 23, 2009 an offer restatement was submitted for SPBC asset at 04:53 which increased the available capability (AC) for the asset within the T-2 window for April 23, 2009 for HE 7. This restatement had the effect of increasing the AC value from 18 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for April 23, 2009.
  - 2. AESO information request, response, and referral as applicable.
  - 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
  - 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 · 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

### NOTICE

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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 30 days 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 teams.

SIGNATURE

Signature:

Name:

Rob Spragins

Signature Date:

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-177	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions			
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	April 3, 2009	
Date of Referral/Self Report:	N/A	This is the 177 contravention by this asset for this rule within a rolling ${\bf 1}$ month period.		
		ACACT OFTAILS		

#### EVENT DETAILS

On April 3, 2009 an offer restatement was submitted for SPBC asset at 05:27 which increased the available capability (AC) for the asset within the T-2 window for April 3, 2009 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

# FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for April 3, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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. S(1) of AUC Rule 919 this Notice of Specified Penalty will be made public no earlier 30 days 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.

#### SIGNATURE

July 16, 2010 Signature: Signature Date: Tyler Manager Investigations Name:

# Verries (els sasarbres las yales

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-176	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	April 1, 2009
Date of Referral/Self Report:	N/A	This is the 176 contravention by this asset for this rule within a rolling month period.	
	E	EVENT DETAILS	
D 1 11 1 DOGG 45 .			1 No 1 - 1 ( 1 ( / A C ) ( 1

On April 1, 2009 an offer restatement was submitted for SPBC asset at 10:58 which increased the available capability (AC) for the asset within the T-2 window for April 1, 2009 for HE 13. This restatement had the effect of increasing the AC value from 50 to 56 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for April 1, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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#### NOTICE

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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 30 days and no later shain 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@arbertamsa.ca.

SIGNATURE

Signature Date: July 16, 2010 Signature: Title: Name:

Date of Issue: July 16, 2010 Payment Due Date: August 16, 20			nt Due Date: August 16, 2010
MSA File Number:	2009-025-175	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	March 28, 2009
Date of Referral/Self Report:	N/A	This is the 175 contravention month period.	by this asset for this rule within a rolling 12
	E	VENT DETAILS	
asset within the T-2 window from 1SO rule 6.3.3 requires that the interchange e-tag quantities (before the start of the settlem who offers (bids) energy must the the offer is to take effect, through interchange transaction the system controller under rules.	or March 28, 2009 for HE 8. The sum of the importer's (export MW) for a single import source tent interval if the importer (expensional an energy restatement of the some of the importer's (expensional and examples (MW) for sub-	is restatement had the effect of ter's) e-tag quantities (MW) and (sink) asset may only be less the porter) has an acceptable opera in accordance with rule 3.5.3.2 exporter's) e-tag quantities (MW) ich settlement interval is less the quantities (MW) and importer's	ased the available capability (AC) for the increasing the AC value from 0 to 25 MW. I importer's (exporter's) wheel-through nan the AC of such asset stated two hours tional reason. Each importer (exporter) prior to the settlement interval in which and importer's (exporter's) wheel-an the AC. Unless otherwise requested by (exporter's) wheel through interchange the start of a settlement interval.
	W 100 CO THE CO. THE CO.	FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a	contravention of ISO rule 6.3.3.
	M	ATERIAL FACTS	
<ol> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> </ol>	mation Request to NorthPoint 8	lutions dated June 23, 2009. e to MSA information request da Energy Solutions dated July 31,	
	DELIN	VERY OF PAYMENT	
Alberta Utilities Commission (Appayment should be addressed Delivery of payment should at	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor .ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2I D. The payment should referer opliance@albertamsa.ca, with c	linister of Finance", and delivered to the P.3L8. Questions in respect of delivery of ince this notice and related MSA File #. copy to the following AUC personnel: Corab.ca, and Darin Lowther (Director, Market
		NOTICE	
The Market Surveillance Admir issue a Notice of Specified Per out in AUC Rule 019.	nistrator (MSA) is granted the p nalty where the MSA is satisfied	ower and authority under s. 52 that a person has contravened	of the Alberta Utilities Commission Act to an ISO rule. Specified penalties are set
		ute regarding the issuance of a esult in a hearing or other proce	Notice of Specified Penalty or failure to eeding before the AUC.
			Richwearher 30 days and no later than 45 ion of the AUC respecting the specified
		ecified Penalty, or if you have a mat compliance@albertamsa.c	ny other questions or comments
		SIGNATURE	
Signature:	Ach	Signature Date:	July 16, 2010
Name:	Rob Spragns	Title:	Manager Investigations

# Nate (detended and to be NATE)

Date of Issue: July 16, 2010		Payı –	ment Due Date: August 16, 2010
MSA File Number:	2009-025-174	Specified Penalty Amount:	± 2.000
– – Market Participant Name:	NorthPoint Energy Solutions		\$ 2,000
Asset ID (if applicable):	SP8C	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	March 8, 2009
Date of Referral/Self Report:	N/A	This is the 174 contravention month period.	on by this asset for this rule within a rolling 12
	 E	EVENT DETAILS	
(exporter) who offers (bids) in which the the offer is to ta wheel-through interchange ti requested by the system con	energy must submit an energy r ike effect, if the some of the imp ransatcion e-tag quantities (MW troller under rule 6.3.7, the sum	estatement in accordance wi porter's (exporter's) e-tag qua ) for such settlement interval n of the e-tag quantities (MW	reptable operational reason. Each importer th rule 3.5.3.2 prior to the settlement interval antities (MW) and importer's (exporter's) is less than the AC. Unless otherwise and importer's (exporter's) wheel through the other than the start of a settlement
based upon the information of	-	•	a contravention of ISO rule 6.3.3.
<ol> <li>AESO restatement</li> <li>AESO information a</li> <li>MSA Information R</li> <li>NorthPoint Energy</li> <li>MSA follow-up Info</li> </ol>	n by the MSA include the follow data for SPBC asset for March 8 request, response, and referral a lequest to NorthPoint Energy So Solutions July 20, 2009 respons ormation Request to NorthPoint I	3, 2009. as applicable. lutions dated June 23, 2009. Be to MSA information requesi Energy Solutions dated July 3	
	DELT	VERY OF PAYMENT	
Payment by cheque or certific	ed funds is to be made out to th	e "General Revenue Fund c/o	o Minister of Finance", and delivered to the

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavanii (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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.

SIGNATURE

Signature:

Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

# Nortice of Sheathled hear it

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010		nt Due Date: August 16, 2010		
MSA File Number:	2009-025-173	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount		
Asset ID (if applicable):	SPBC	Self Report	YES NO	
ISO Rule:	6.3.3	Date of Contravention:	March 6, 2009	
Date of Referral/Self Report:	N/A	This is the 173 contravention is month period.	by this asset for this rule within a rolling 12	
	E	VENT DETAILS		
On March 6, 2009 an offer restatement was submitted for SPBC asset at 05:51 which increased the available capability (AC) for the asset within the T-2 window for March 6, 2009 for HE 8. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.				
		FINDINGS		
Based upon the information of	otained by the MSA, the MSA is	satisfied that the event was a	contravention of ISO rule 6.3.3.	
	Ma	ATERIAL FACTS		
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for March 6, 2009.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.				
DELIVERY OF PAYMENT				
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		NOTICE		
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		ute regarding the issuance of a esult in a hearing or other proce	Notice of Specified Penalty or failure to eding before the AUC.	
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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@aibertamsa.ca.				
		SIGNATURE		
Signature: Aph	extra	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

# NATE OF OF SPECIFIED PERMITS

Date of Referral/Self Report:	N/A	This is the 172 contravention by this asset for this rule within a rolling 1 month period.	
ISO Rule:	6.3.3	Date of Contravention:	March 5, 2009
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
Market Participant Name:	NorthPoint Energy Solutions	Amount:	+ -/
MSA File Number:	2009-025-172	Specified Penalty	\$ 2,000
Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	

#### EVENT DETAILS

On March 5, 2009 an offer restatement was submitted for SPBC asset at 23:55 which increased the available capability (AC) for the asset within the T-2 window for March 6, 2009 for HE 2. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for March 5, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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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 wallertamsa.ca

SIGNATURE

Signature: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

# North Care and Care and Care Allen

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-171	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions		¥ 2,000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	March 5, 2009	
Date of Referral/Self Report:	N/A	This is the 171 contravention by this asset for this rule within a rolling 12 month period.		
	E	EVENT DETAILS		
On March 5, 2009 an offer res	statement was submitted for SF	PBC asset at 14:27 which increas	ed the available capability (AC) for the	

On March 5, 2009 an offer restatement was submitted for SPBC asset at 14:27 which increased the available capability (AC) for the asset within the T-2 window for March 5, 2009 for HE 16-17. This restatement had the effect of increasing the AC value from 25 to 33 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for March 5, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-170	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 27, 2009
Date of Referral/Self Report:	N/A	This is the 170 contravention by this asset for this rule within a rolling month period.	
	_	VENT DETAILS	

#### EVENT DETAILS

On February 27, 2009 an offer restatement was submitted for SPBC asset at 16:17 which increased the available capability (AC) for the asset within the T-2 window for February 27, 2009 for HE 19. This restatement had the effect of increasing the AC value from 0 to 100 MW. At 17:43, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 100 MW to 63 MW for HE 19. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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#### SIGNATURE

Signature: Signature Date: July 16, 2010 Title: Name: Manager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-169 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SP8C Self Report YES ISO Rule: 6.3.3 Date of Contravention: February 27, 2009

Date of Referral/Self Report: N/A

This is the 169 contravention by this asset for this rule within a rolling 12

month period.

#### **EVENT DETAILS**

On February 27, 2009 an offer restatement was submitted for SPBC asset at 10:20 which increased the available capability (AC) for the asset within the T-2 window for February 27, 2009 for HE 12-13. This restatement had the effect of increasing the AC value from 0 to 75 for HE 12 and 0 to 88 MW for HE 13. At 12:29, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 88 MW to 75 MW for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 27, 2009.
- AESO information reguest, response, and referral as applicable.
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SIGNATURE

Signature Date: signature: July 16, 2010 Ron Spranins Name. Title: Manager Investigations

	NOTICE OF	SPECIFIED PENALT	<b>Y</b>
Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010			
MSA File Number:	2009-025-168	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 26, 2009
Date of Referral/Self Report:	N/A	This is the 168 contravention month period.	n by this asset for this rule within a rolling 12
	ε	VENT DETAILS	
asset within the T-2 window f 25. ISO rule 6.3.3 requires th through interchange e-tag qui two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system conti	for February 26, 2009 for HE 14 hat the sum of the importer's (e antities (MW) for a single import the settlement interval if the importergy must submit an energy rise effect, if the some of the impansation e-tag quantities (MW) roller under rule 6.3.7, the sum	I-16. This restatement had the exporter's) e-tag quantities (M) it source (sink) asset may only inporter (exporter) has an accelestatement in accordance with corter's (exporter's) e-tag quait) for such settlement interval it of the e-tag quantities (MW)	increased the available capability (AC) for the effect of increasing the AC value from 0 to W) and importer's (exporter's) wheely be less than the AC of such asset stated eptable operational reason. Each importer in rule 3.5.3.2 prior to the settlement interval ntities (MW) and importer's (exporter's) is less than the AC. Unless otherwise and importer's (exporter's) wheel through hours before the start of a settlement
		FINDINGS	
Based upon the information o	btained by the MSA, the MSA is	satisfied that the event was a	a contravention of ISO rule 6.3.3.
	M	ATERIAL FACTS	
<ol> <li>AESO restatement of</li> <li>AESO information re</li> <li>MSA Information Re</li> </ol>	by the MSA include the follow data for SPBC asset for Februari equest, response, and referral a equest to NorthPoint Energy Sol solutions July 20, 2009 respons	y 26, 2009. es applicable. lutions dated June 23, 2009.	dated June 23, 2009.

- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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#### SIGNATURE

Signature: July 16, 2010

Name: Rob Spragns Title: Manager Investigations

# None (vale) a separation and the second

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-167	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Salutions			
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 25, 2009	
Date of Referral/Self Report:	N/A	This is the 167 contravention by this asset for this rule within a rolling month period.		

EVENT DETAILS

On February 25, 2009 an offer restatement was submitted for SPBC asset at 21:16 which increased the available capability (AC) for the asset within the T-2 window for February 25, 2009 for HE 23-24. This restatement had the effect of increasing the AC value from 75 to 80 for HE 23 and 0 to 5 MW for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 25, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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#### SIGNATURE

Signature: After 17 Signature Date: July 15, 2010

Name: Rob Spragins Title: Manager Investigations

# MOTTOR OF SPERKERS PENAIR

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-166	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	1 -7	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 23, 2009	
Date of Referral/Self Report: N/A		This is the 166 contravention month period.	by this asset for this rule within a rolling 12	
-		VENT DETAILS		

# EVENT DETAILS

On February 23, 2009 an offer restatement was submitted for SPBC asset at 23:13 which increased the available capability (AC) for the asset within the T-2 window for February 24, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

### FINDINGS

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#### MATERIAL FACTS

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SIGNATURE

Signature:

July 16, 2010

Name:

	Managaran (1985年)		
Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	Amount:	Specified Penalty	\$ 2,000
Market Participant Name:		-	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention;	February 23, 2009
Date of Referral/Self Report:	N/A	This is the 165 contraventi month period.	ion by this asset for this rule within a rolling 12
	E	VENT DETAILS	
such asset stated two hours b Each importer (exporter) who settlement interval in which th importer's (exporter's) wheel- Unless otherwise requested by	refore the start of the settlement offers (bids) energy must submo the the offer is to take effect, if the through interchange transatcion of the system controller under nu	at interval if the importer (ex nit an energy restatement in the some of the importer's (on the etag quantities (MW) for stall the 6.3.7, the sum of the e-tage.	(sink) asset may only be less than the AC of sporter) has an acceptable operational reason. It accordance with rule 3.5.3.2 prior to the exporter's) e-tag quantities (MW) and such settlement interval is less than the AC. ag quantities (MW) and importer's (exporter's) AC offerred two hours before the start of a
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was	s a contravention of ISO rule 6.3.3.
	M/	ATERIAL FACTS	
AESO restatement of AESO information re     MSA Information Re     NorthPoint Energy S     MSA follow-up Information AESO	by the MSA include the following that a for SPBC asset for February equest, response, and referral adquest to NorthPoint Energy Solicolutions July 20, 2009 response mation Request to NorthPoint Ecolutions August 13, 2009 and Applications August 14, 2009 and Applic	y 23, 2009. is applicable. utions dated June 23, 2009. e to MSA information reques Energy Solutions dated July 3	t dated June 23, 2009.

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### NOTICE

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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.

SIGNATURE

Signature:

Name:

Signature Date:

July 16, 2010

Rob Spragins

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-164	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SP8C	Self Report	YES 🖾 NO	
ISO Rule:	6.3.3	Date of Contravention:	February 23, 2009	
Date of Referral/Self Report: N/A		This is the 164 contravention by this asset for this rule within a rolling month penod.		

#### EVENT DETAILS

On February 23, 2009 an offer restatement was submitted for SPBC asset at 08:19 which increased the available capability (AC) for the asset within the T-2 window for February 23, 2009 for HE 10-11. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 23, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

#### DELIVERY OF PAYMENT

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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

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.

SIGNATURE

Signature:

Name:

Signature Date:

July 16, 2010

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-163	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	1 -1 -
Asset ID (if applicable):	SPBC	Self Report	☐ YES 🖾 NO
ISO Rule:	6.3.3	Date of Contravention:	February 23, 2009
Date of Referral/Self Report:	N/A	This is the 163 contravention by this asset for this rule within a rolling 12 month period.	
	E	EVENT DETAILS	
asset within the T-2 window f MW. ISO rule 6.3.3 requires through interchange e-tag qu	for February 23, 2009 for HE 9. that the sum of the importer's ( antities (MW) for a single impo	This restatement had the effect (exporter's) e-tag quantities (M rt source (sink) asset may only	ncreased the available capability (AC) for the ct of increasing the AC value from 0 to 12 W) and importer's (exporter's) wheelbe less than the AC of such asset stated ptable operational reason. Each importer

# FINDINGS

(exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 23, 2009.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

#### **DELIVERY OF PAYMENT**

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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@afbertamsa.ca.

#### SIGNATURE

Signature:

Name:

interval.

Poh Spragine

Signature Date:

July 16, 2010

Trile:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-162	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	7 -1/	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 15, 2009	
Date of Referral/Self Report:	N/A	This is the 162 contravention month period.	by this asset for this rule within a rolling LZ	
	E	VENT DETAILS		
On February 15, 2009 an offe	r restatement was submitted for	or SPBC asset at 01:23 which in	ncreased the available capability (AC) for the	

On February 15, 2009 an offer restatement was submitted for SPBC asset at 01:23 which increased the available capability (AC) for the asset within the T-2 window for February 15, 2009 for HE 3-4. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

# MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 15, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

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Signature	Date:		July 16,	2010

Signature:

Rob Spragin

Name:

Title

Date of Issue: July 16, 2010		Payment	Due Date: August 16, 2010	
MSA File Number:	2009-025-161	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 =1000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 12, 2009	
Date of Referral/Self Report:	N/A	This is the 161 contravention by this asset for this rule within a rolling 12 month period.		
	E	EVENT DETAILS		
On February 12, 2009 an offe	r restatement was submitted fo	or SPBC asset at 08:17 which incre	ased the available capability (AC) for the	

On February 12, 2009 an offer restatement was submitted for SPBC asset at 08:17 which increased the available capability (AC) for the asset within the T-2 window for February 12, 2009 for HE 10. This restatement had the effect of increasing the AC value from 86 to 87 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 12, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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#### SIGNATURE

Signature: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-160	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	· -/···	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 12, 2009	
Date of Referral/Self Report: N/A		This is the 160 contravention by month period.	y this asset for this rule within a rolling 12	
		THE DETAILS		

On February 12, 2009 an offer restatement was submitted for SPBC asset at 02:44 which increased the available capability (AC) for the asset within the T-2 window for February 12, 2009 for HE 5. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 12, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

### DELIVERY OF PAYMENT

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SIGNATURE

Signature Date: July 16, 2010 Signature: Manager Investigations Name:

### ESPERIE DE PENANT Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-159 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report Asset ID (if applicable): SPBC ☐ YES ISO Rule: 6.3.3 Date of Contravention: February 10, 2009 This is the 159 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 10, 2009 an offer restatement was submitted for SPBC asset at 16:26 which increased the available capability (AC) for the asset within the T-2 window for February 10, 2009 for HE 18. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPBC asset for February 10, 2009.

- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

#### DELIVERY OF PAYMENT

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SIGNATURE

Signature: Signature Date: July 16, 2010 Name: Manager Investigations

THE STREET STREET			POSECOSION PROFILE DISCUSSION
Date of Issue: July 16, 2010		Payment	Due Date: August 16, 2010
MSA File Number:	2009-025-158	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	ψ <b>-</b> /300
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 7, 2009
Date of Referral/Self Report:	N/A	This is the 158 contravention by month period.	this asset for this rule within a rolling 12
		VENT DETAILS	
asset within the T-2 window f MW. ISO rule 6.3.3 requires through interchange e-tag que two hours before the start of (exporter) who offers (bids) e in which the the offer is to tal wheel-through interchange tra- requested by the system cont	or February 7, 2009 for HE 21. that the sum of the importer's (antities (MW) for a single imported the settlement interval if the imported must submit an energy must submit an energy must submit an energy must submit and energy must be submitted.	This restatement had the effect of exporter's) e-tag quantities (MW) it source (sink) asset may only be uporter (exporter) has an acceptate estatement in accordance with rulporter's (exporter's) e-tag quantitie) for such settlement interval is less of the e-tag quantities (MW) and ater than the AC offerred two hou	issed the available capability (AC) for the fincreasing the AC value from 25 to 36 and importer's (exporter's) wheelless than the AC of such asset stated ble operational reason. Each importer is 3.5.3.2 prior to the settlement intervales (MW) and importer's (exporter's) so than the AC. Unless otherwise importer's (exporter's wheel through its before the start of a settlement
		FINDINGS	
Based upon the information of		satisfied that the event was a co	ntravention of ISO rule 6.3.3.
<ol> <li>NorthPoint Energy 5</li> <li>MSA follow-up Infor</li> </ol>	mation Request to NorthPoint 8	e to MSA information request date Energy Solutions dated July 31, 20	
	DELIN	ERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should also	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to corab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3 . The payment should reference optiance@albertamsa.ca, with cop Finance) sabl.ghavami@auc.ab.co	ister of Finance", and delivered to the BLS. Questions in respect of delivery of a this notice and related MSA File #. by to the following AUC personnel: Cora a, and Darin Lowther (Director, Market
		NOTICE	
			the Alberta Utilities Commission Act to a ISO rule. Specified penalties are set
		ute regarding the issuance of a Nesult in a hearing or other proceed	otice of Specified Penalty or failure to ling before the AUC.
			no earlier 30 days and no later than 45 n of the AUC respecting the specified
		ecified Penalty, or if you have any m at compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	
Signature: Ar	letty.	Signature Date: Ju	uly 16, 2010
Name:	Rob Spragins	Title: M	anager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010			due Date: August 16, 2010		
MSA File Number:	2009-025-157	Specified Penalty	\$ 2,000		
Market Participant Name:	NorthPoint Energy Solutions	Amount:			
Asset ID (if applicable):	SP8C	Self Report	☐ YES ⊠ NO		
ISO Rule:	6.3.3	Date of Contravention:	February 6, 2009		
Date of Referral/Self Report:	N/A	This is the 157 contravention by t month period.	his asset for this rule within a rolling 12		
	E	VENT DETAILS			
MW. ISO rule 6.3.3 requires a through interchange e-tag quatwo hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange transaction e-tag interval.  Based upon the information of the material facts relied upon 1. AESO restatement of 2. AESO information results and the material facts relied upon 1. MSA Information Results and MSA Information Results and MSA Information Results and MSA follow-up Information Information Information Information Results and MSA follow-up Information Info	that the sum of the importer's ( antities (MW) for a single imported settlement interval if the imported settlement interval settlement interval in	exporter's) e-tag quantities (MW) at source (sink) asset may only be leporter (exporter) has an acceptable estatement in accordance with rule corter's (exporter's) e-tag quantities of for such settlement interval is less of the e-tag quantities (MW) and it after than the AC offerred two hours attended to the event was a contact of the e-tag quantities (ACT) as attended to the event was a contact of the event was a contact	ess than the AC of such asset stated a operational reason. Each importer 3.5.3.2 prior to the settlement interval (MW) and importer's (exporter's) than the AC. Unless otherwise importer's (exporter's) wheel through a before the start of a settlement interval of the start of a settlement interval.		
DELIVERY OF PAYMENT					
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.					
		NOTICE			
			the <i>Alberta Utilities Commission Act</i> to ISO rule. Specified penalties are set		
		ute regarding the issuance of a Not esult in a hearing or other proceeding	nce of Specified Penalty or failure to ng before the AUC.		
In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.					
		SIGNATURE			
Signature: Am	lettem	-Signature Date: Italy	r 16, 2010		
Name:	Roo Spragins	Title: Mai	nager Investigations		

Date of Issue: July 16, 2010	_	Payment Due Date: August 16, 2010		
MSA Fife Number:	2009-025-156	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 6, 2009	
Date of Referral/Self Report:	N/A	This is the 156 contravention month period.	by this asset for this rule within a rolling 12	
10000				

#### **EVENT DETAILS**

On February 6, 2009 an offer restatement was submitted for SPBC asset at 19:22 which increased the available capability (AC) for the asset within the T-2 window for February 6, 2009 for HE 22. This restatement had the effect of increasing the AC value from 75 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 6, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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#### NOTICE

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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 30 days 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.

SIGNATURE

Signature: Artest C. crax Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

的相似。其是	NOTICE OF	SPECIFIED PENALTY	
Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-15\$	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 4, 2009
Date of Referral/Self Report:	N/A	This is the 155 contravention by the month period.	his asset for this rule within a rolling 12
= 0	E	VENT DETAILS	
asset within the T-2 window fig. MW. ISO rule 6.3.3 requires I through interchange e-tag quitwo hours before the start of (exporter) who offers (bids) ein which the the offer is to tak wheel-through interchange trarequested by the system continuation.	or February 4, 2009 for HE 21. that the sum of the importer's (antities (MW) for a single imported the settlement interval if the impergy must submit an energy rate effect, if the some of the impensation e-tag quantities (MW) roller under rule 6.3.7, the sum	This restatement had the effect of exporter's) e-tag quantities (MW) at source (sink) asset may only be leporter (exporter) has an acceptable estatement in accordance with rule porter's (exporter's) e-tag quantities for such settlement interval is less of the e-tag quantities (MW) and in ater than the AC offerred two hours	nd importer's (exporter's) wheel- ess than the AC of such asset stated e operational reason. Each importer 3.5.3.2 prior to the settlement interval (MW) and importer's (exporter's) than the AC. Unless otherwise mporter's (exporter's) wheel through
		FINDINGS	

# Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

  1. AESO restatement data for SPBC asset for February 4, 2009.
  - 2. AESO information request, response, and referral as applicable.
  - 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
  - 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
  - 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
  - NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

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Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Ublities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #, Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darm.lowther@auc.ab.ca.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

#### SIGNATURE

Signature:

Name:

Askert mg

Signature Date:

July 16, 2010

Title

		CO 28(3(3)3) 22 21 (18)	<b>建设性的关键性的 计图像</b>
Date of Issue: July 16, 2010		Payment	Due Date: August 16, 2010
MSA File Number:	2009-025-154	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 4, 2009
Date of Referral/Self Report:	N/A	This is the 154 contravention by month period.	this asset for this rule within a rolling 12
	٤	VENT DETAILS	
MW. ISO rule 6.3.3 requires through interchange e-tag que two hours before the start of (exporter) who offers (bids) ein which the the offer is to tak wheel-through interchange transpersed by the system continuous interchange transpersed by the system continuous interchange.	that the sum of the importer's ( antities (MW) for a single impor- the settlement interval if the im- mergy must submit an energy ri- ke effect, if the some of the imp ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	exporter's) e-tag quantities (MW) it source (sink) asset may only be aporter (exporter) has an acceptal estatement in accordance with ru porter's (exporter's) e-tag quantiti ) for such settlement interval is le i of the e-tag quantities (MW) and	of increasing the AC value from 50 to 57 and importer's (exporter's) wheeless than the AC of such asset stated ble operational reason. Each importer le 3.5.3.2 prior to the settlement intervales (MW) and importer's (exporter's) ss than the AC. Unless otherwise importer's (exporter's) wheel through iris before the start of a settlement
		FINDINGS	
Based upon the information o	- '	satisfied that the event was a co	ntravention of ISO rule 6.3.3.
	أحدد متعادمات والمستنبذ	ATERIAL FACTS	
<ol> <li>AESO restatement of AESO information resident.</li> <li>MSA Information Resident.</li> <li>NorthPoint Energy Society.</li> <li>MSA follow-up Information.</li> </ol>	mation Request to NorthPoint 6	y 4, 2009. is applicable. lutions dated June 23, 2009. e to MSA information request date Energy Solutions dated July 31, 20	
	DELLY	VERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should al	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3 C. The payment should reference mpliance@albertamsa.ca, with co	nister of Finance", and delivered to the BL8. Questions in respect of delivery of a this notice and related MSA File #. by to the following AUC personnel: Coralia, and Dann Lowther (Director, Market
		NOTICE	
			f the <i>Alberta Utilities Commission Act</i> to n ISO rule. Specified penalties are set
		ute regarding the issuance of a Nesult in a hearing or other proceed	otice of Specified Penalty or failure to ging before the AUC.
			no earlier 30 days and no later than 45 n of the AUC respecting the specified

SIGNATURE

If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments

Signature:

Name:

Rob Spragins

regarding this matter, please contact the MSA compliance team at compliance  ${\mathfrak P}$  albertams a.ca.

Signature Date:

Title:

July 16, 2010

# MOTIFICATE OF SEEMINGED DEVALUE.

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-153	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SP8C	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	February 4, 2009	
Date of Referral/Self Report:	N/A	This is the 153 contravention by this asset for this rule within a rolling 12 month period.		
		E 1 1		

#### **EVENT DETAILS**

On February 4, 2009 an offer restatement was submitted for SP8C asset at 09:17 which increased the available capability (AC) for the asset within the T-2 window for February 4, 2009 for HE 12. This restatement had the effect of increasing the AC value from 53 to 56 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 4, 2009.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

#### DELIVERY OF PAYMENT

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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.

# SIGNATURE

	11 1 1		
Signature:	Roberthun	Signature Date:	July 16, 2010
Vame'	Roh Spragins	Title:	Managar Investigation

# Plantage of the all the celebration

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-152	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, ,	
Asset ID (if applicable):	SPBC	Self Report	YES NO	
ISO Rule:	6.3.3	Date of Contravention;	February 4, 2009	
Date of Referral/Self Report:	N/A	This is the 152 contravention by this asset for this rule within a rolling month period.		

#### **EVENT DETAILS**

On February 4, 2009 an offer restatement was submitted for SP8C asset at 08:57 which decreased the available capability (AC) for the asset within the T-2 window for February 4, 2009 for HE 11. This restatement had the effect of decreasing the AC value from 54 to 52 MW. At 09:15, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 52 MW to 55 MW for HE 11. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 4, 2009.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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.

SIGNATURE

Signature:

Name:

Bandard

Signature Date:

July 16, 2010

Title

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Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-151	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPaint Energy Solutions	Amount:	-
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO _
ISO Rule:	6.3.3	Date of Contravention:	February 3, 2009
Date of Referral/Self Report:	N/A 	This is the 151 contravention by the month period.	his asset for this rule within a rolling 12

#### EVENT DETAILS

On February 3, 2009 an offer restatement was submitted for SPBC asset at 17:22 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 20. This restatement had the effect of increasing the AC value from 0 to 6 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

# MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 3, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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 callertamsa.ca.

Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

# Morn (organic september 12 to 12 to

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-150	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	+ =,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 3, 2009
Date of Referral/Self Report:	N/A	This is the 150 contravention by this asset for this rule within a rolling 1 month period.	

# **EVENT DETAILS**

On February 3, 2009 an offer restatement was submitted for SPBC asset at 10:15 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 13. This restatement had the effect of increasing the AC value from 11 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 3, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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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.

#### SIGNATURE

Signature: Signature Date: July 16, 2010

Name: Rob Spragids Title: Manager Investigations

# OFFICE OF SPECIAL PROPERTY

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-149	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		T -,
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	February 3, 2009
Date of Referral/Self Report:	N/A	This is the 149 contravention by this asset for this rule within a rollin month period.	
	-	VENT DETAILS	

On February 3, 2009 an offer restatement was submitted for SPBC asset at 09:14 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 12. This restatement had the effect of increasing the AC value from 86 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for February 3, 2009.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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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.

#### SIGNATURE

Signatures Signature Date: July 15, 2010 Vame: Manager Investigations

# NOTEGE OF SPECIFIED SENARTY

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-148	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 -,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	February 3, 2009
Date of Referral/Self Report:	N/A	This is the 148 contravention by this asset for this rule within a rollin month period.	

#### **EVENT DETAILS**

On February 3, 2009 an offer restatement was submitted for SPBC asset at 08:46 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 11. This restatement had the effect of increasing the AC value from 86 to 87 MW. At 09:14, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 87 MW to 88 MW for HE 11.ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 3, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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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 or accordance with this notice will result in a hearing or other proceeding before the AUC.

In accordance with s. 5(1) of AUC Rule 919 this Notice of Specified Penalty will be made public no earlier 30 days 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.

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Signature: Signature Date: July 16, 2010
Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-147	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 2, 2009
Date of Referral/Self Report:	N/A	This is the 147 contravention by this asset for this rule within a roll month period.	

#### EVENT DETAILS

On February 2, 2009 an offer restatement was submitted for SPBC asset at 11:07 which increased the available capability (AC) for the asset within the T-2 window for February 2, 2009 for HE 13. This restatement had the effect of increasing the AC value from 64 to 89 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for February 2, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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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

#### SIGNATURE

Signature:	Ment John	Signature Date:	July 16, 2010
Name:	Rob Spragues	I Title:	Manager Investigations

# MOTE CE CE CE CE CE CE DE PENALTS C

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-146	Specified Penalty	\$ 2,000
Market Participant Name;	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	February 1, 2009
Date of Referral/Self Report:	N/A	This is the 146 contravention by this asset for this rule within a rolling 12 month period.	
	E	EVENT DETAILS	

On February 1, 2009 an offer restatement was submitted for SPBC asset at 10:27 which increased the available capability (AC) for the asset within the T-2 window for February 1, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 14 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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- 1. AESO restatement data for SPBC asset for February 1, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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# SIGNATURE

1	1 1 8		en e
Signature:	Notes & Druggers	Signature Date:	July 16, 2010
Name:	Rob Spragms	Title:	Manager Investigations

# IN CHENTENED

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-145	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	January 27, 2009
Date of Referral/Self Report:	N/A	This is the 145 contravention by this asset for this rule within a rolling 12 month period.	
	_		

#### EVENT DETAILS

On January 27, 2009 an offer restatement was submitted for SPBC asset at 22:53 which increased the available capability (AC) for the asset within the T-2 window for January 28, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for January 27, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.

  All MorthPoint Energy Solutions July 20, 2009 response to MSA information request.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

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#### SIGNATURE

Sirgnature Date: Signature: July 16, 2010

Name: Manager Investigations

	NOTICE OF	SPECIFIED PENALTY		
Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-144	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions			
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	January 25, 2009	
Date of Referral/Self Report:	N/A	This is the 144 contravention by this asset for this rule within a rolling 12 month period.		
		EVENT DETAILS		
asset within the T-2 window f MW. ISO rule 6.3.3 requires through interchange e-tag qu two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange to requested by the system cont	or January 26, 2009 for HE 1. that the sum of the importer's ( antities (MW) for a single impo- the settlement interval if the im- mergy must submit an energy rate effect, if the some of the importanties (MW) roller under rule 6.3.7, the sum	This restatement had the effect of in (exporter's) e-tag quantities (MW) a rt source (sink) asset may only be to apporter (exporter) has an acceptable restatement in accordance with rule porter's (exporter's) e-tag quantities for such settlement interval is lessen	ess than the AC of such asset stated e operational reason. Each importer : 3.5.3.2 prior to the settlement interval s (MW) and importer's (exporter's) s than the AC. Unless otherwise importer's (exporter's) wheel through	

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for January 25, 2009.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE	
	2 0 09 52 2

Signature:

July 16, 2010

Mame:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-143	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	+ <b>-</b> ,555
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 25, 2009
Date of Referral/Self Report: N/A		This is the 143 contravention month period.	by this asset for this rule within a rolling 12

#### EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPBC asset at 07:15 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 9-10. This restatement had the effect of increasing the AC value from 50 to 100 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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#### NOTICE

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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.

SIGNATURE

Signature:

Name:

Data Conference

Signature Date:

July 16, 2010

Title.

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-142	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, , , , , ,
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 25, 2009
Date of Referral/Self Report:	N/A	This is the 142 contravention by month period.	this asset for this rule within a rolling 12

#### EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPBC asset at 01:11 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 3. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SP8C asset for January 25, 2009.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

#### DELIVERY OF PAYMENT

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# SIGNATURE

Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number: 2009-025-141		Specified Penalty	\$ 2,000
– Market Participant Name:	NorthPoint Energy Solutions	Amount:	÷ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	January 25, 2009
Date of Referral/Self Report: N/A		This is the 141 contravention I month period.	by this asset for this rule within a rolling 12

# **EVENT DETAILS**

On January 25, 2009 an offer restatement was submitted for SPBC asset at 00:30 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 2. This restatement had the effect of increasing the AC value from 0 to 14 MW. At 00:32, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 14 MW to 12 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for January 25, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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## NOTICE

The Market Surveillance Administrator (MSA) is granted the power and authority under s. S2 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.

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SIGNATURE

Signature:

Name::

Rob Spragns

Signature Date:

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-140	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	January 24, 2009
Date of Referral/Self Report:	N/A	This is the 140 contravention by this asset for this rule within a rolling month period.	
	_		

#### **EVENT DETAILS**

On January 24, 2009 an offer restatement was submitted for SPBC asset at 23:27 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for January 24, 2009.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

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# SIGNATURE

	1 1	
Signature:	Roletton Signature Date	e: July 16, 2010
Name:	Rab Spragins Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-139	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	+ =/000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 20, 2009
Date of Referral/Self Report:	N/A	This is the 139 contravention by this asset for this rule within a rolling 12 month period.	

#### **EVENT DETAILS**

On January 20, 2009 an offer restatement was submitted for SPBC asset at 19:45 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 21. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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- 1. AESO restatement data for SPBC asset for January 20, 2009.
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**SIGNATURE** 

Signature:

Rob Spranis

Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Date of Issue: July 16, 2010		Paym	ent Due Date: Aug	ust 16, 2010
MSA File Number:	2009-025-138	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, ,	
Asset ID (if applicable):	SPBC	Self Report	YES	⊠ №
ISO Rule:	6.3.3	Date of Contravention:	January 20,	2009
Date of Referral/Self Report:	N/A	This is the 138 contravention month period.	n by this asset for t	his rule within a rolling 12
	E	VENT DETAILS		•
two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system cont	antities (MW) for a single import the settlement interval if the im- nergy must submit an energy rate effect, if the some of the imp ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum quantities (MW) cannot be gre	aporter (exporter) has an accept estatement in accordance with porter's (exporter's) e-tag quar of the e-tag quantities (MW) ater than the AC offerred two	ptable operational in rule 3.5.3.2 prior ntities (MW) and ims less than the AC, and importer's (exp	reason. Each importer to the settlement interval aporter's (exporter's) Unless otherwise porter's) wheel through
		FINDINGS		00 - 1- 622
Based upon the information o	btained by the MSA, the MSA is	s satisfied that the event was a ATERIAL FACTS	contravention of I	SO role 6,3,3,
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information</li> </ol>	data for SPBC asset for January equest, response, and referral a equest to NorthPoint Energy Sol Solutions July 20, 2009 respons mation Request to NorthPoint I Solutions August 13, 2009 and July 20, 2009 and July 20, 2009 and July 20, 2009 and July 20, 2009 and July 2	as applicable. lutions dated June 23, 2009. e to MSA information request o Energy Solutions dated July 31	, 2009.	
	DELI	VERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should also	d funds is to be made out to the AUC) at: 4th Floor, 425 · 1st Si to the Director of Finance, AUC so be confirmed by email to contact, Sab.ca, Sabi Ghavami (Director, Ca.	treet S.W., Calgary, Alberta, T. 2. The payment should refere mphance@albertamsa.ca, with	2P 3L8. Questions ence this notice and copy to the following	in respect of delivery of d related MSA File #. ing AUC personnel: Cora
		NOTICE		
	nistrator (MSA) is granted the parallel where the MSA is satisfied			
	nt enactments and rules, a disp cordance with this notice will re			
	AUC Rule 019 this Notice of Spe will, if applicable, also post on			
	he issuance of this Notice of Sp contact the MSA compliance tea			is or comments
		SIGNATURE		

Signature Date: July 16, 2010 Signature: Rob Spragins Title: Manager Investigations Name:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-137	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 <b>-</b> /555
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 20, 2009
Date of Referral/Self Report:	N/A	This is the 137 contravention by this asset for this rule within a roiling 1 month period.	
		VENT DETAILS	

On January 20, 2009 an offer restatement was submitted for SPBC asset at 17:45 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 19. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for January 20, 2009.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

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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.

SIGNATURE Signature Date: July 16, 2010 Signature: Name: Rob Spragins Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-136	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 20, 2009
- Date of Referral/Self Report:	N/A	This is the 136 contravention month period.	by this asset for this rule within a rolling 17
		DETAILS	

On January 20, 2009 an offer restatement was submitted for SPBC asset at 07:27 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 10. This restatement had the effect of increasing the AC value from 62 to 87 MW. This restatement was followed by two more restatements at 08:48 and 08:55 that had the effect of decreasing AC value from 87 to 86 MW and from 86 to 63 MW, respectively. All restatements were for HE 10. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for January 20, 2009.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:

Signature Date:

July 16, 2010

Name:

# NOTICE DESPECTITES PENALTY

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-135	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	1 , ,
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	January 20, 2009
Date of Referral/Self Report:	N/A	This is the 135 contravention by this asset for this rule within a rolling 1 month period.	

#### **EVENT DETAILS**

On January 20, 2009 an offer restatement was submitted for SPBC asset at 05:32 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 8. This restatement had the effect of increasing the AC value from 50 to 66 MW. At 05:38, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 66 MW to 91 MW. This restatement was followed by two more restatements at 06:15 and 07:27 that had the effect of decreasing AC value from 91 to 75 MW and from 75 to 70 MW, respectively. All restatements were for HE 8. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for January 20, 2009.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 388. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE

Signature:

Name:

w/ Dura

Signature Date:

July 16, 2010

Rob Spragin

Title:

# NOTICE OF SHEETERS PERMITY

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-134	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 =/***
Asset ID (if applicable):	SPBC	Self Report	YES NO
ISO Rule:	6.3.3	Date of Contravention:	January 19, 2009
- Date of Referral/Self Report:	N/A	This is the 134 contravention by this asset for this rule within a rolling 1 month period.	

#### EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPBC asset at 23:13 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for January 19, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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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 @albertanisa.ga.

	SIGNATURE		
	1-1 10		
Signature:	Arter kun	Signature Date:	July 16, 2010
A 4 ***********************************	17	1	
Name:	Rob Spragins	Title.	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-133	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount;		
Asset JD (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	January 19, 2009	
Date of Referral/Self Report:	N/A	This is the 133 contravention by month period.	this asset for this rule within a rolling 12	
	E	VENT DETAILS		
MW. ISO rule 6.3.3 requires through interchange e-tag quitwo hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange transpared by the system continuous continu	that the sum of the importer's ( antities (MW) for a single impor- the settlement interval if the im- nergy must submit an energy no- se effect, if the some of the impor- ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	exporter's) e-tag quantities (MW) a t source (sink) asset may only be la aporter (exporter) has an acceptable estatement in accordance with rule aporter's (exporter's) e-tag quantities afor such settlement interval is less	less than the AC of such asset stated le operational reason. Each importer a 3.5.3.2 prior to the settlement interval is (MW) and importer's (exporter's) is than the AC. Unless otherwise importer's (exporter's) wheel through	
		FINDING\$		
8ased upon the information o	btained by the MSA, the MSA is	satisfied that the event was a con	travention of ISO rule 6.3.3.	
	M	ATERIAL FACTS		
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information</li> </ol>	mation Request to NorthPoint B	s applicable.	09.	
	DELIN	ERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should also	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor .ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3l L. The payment should reference npliance@albertamsa.ca, with cop	ster of Finance", and delivered to the L8. Questions in respect of delivery of this notice and related MSA File #, y to the following AUC personnel: Corar, and Darin Lowther (Director, Market	
		NOTICE		
			the Alberta Utilities Commission Act to ISO rule. Specified penalties are set	
		ute regarding the issuance of a No esult in a hearing or other proceedi	itice of Specified Penalty or failure to ing before the AUC.	
			no earlier 30 days and no later than 45 of the AUC respecting the specified	
		ecified Penalty, or if you have any mat compliance@albertamsa.ca.	other questions or comments	
		SIGNATURE		
Signature: Right	est.	Signature: Date: Jul	y 16, 2010	

Title:

Manager Investigations

Rob Spragins

Name:

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Date of Issue: July 16, 2010		Payment C	Due Date: August 16, 2010	
MSA File Number:	2009-025-132	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	. ,	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule;	6.3.3	Date of Contravention:	January 19, 2009	
Date of Referral/Self Report:	N/A	This is the 132 contravention by t month period.	his asset for this rule within a rolling 12	
HE . WITH H	E	VENT DETAILS		
asset within the T-2 window for MW. ISO rule 6.3.3 requires to through interchange e-tag quatwo hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange transquested by the system contribution.	or January 19, 2009 for HE 13. that the sum of the importer's ( antities (MW) for a single import the settlement interval if the im- nergy must submit an energy re- se effect, if the some of the imports ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	This restatement had the effect of exporter's) e-tag quantities (MW) at source (sink) asset may only be laporter (exporter) has an acceptable estatement in accordance with rule porter's (exporter's) e-tag quantities of for such settlement interval is less	ess than the AC of such asset stated e operational reason. Each importer 3.5.3.2 pnor to the settlement interval (MW) and importer's (exporter's) than the AC. Unless otherwise mporter's (exporter's) wheel through	
		FINDINGS	7.	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	travention of ISO rule 6.3.3.	
	M	ATERIAL FACTS		
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for January 19, 2009.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.  DELIVERY OF PAYMENT  Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of				
payment should be addressed Delivery of payment should also	to the Director of Finance, AUC so be confirmed by email to con ab.ca, Sabi Ghavami (Director,	The payment should reference Impliance@albertamsa.ca, with copy	this notice and related MSA File #.  to the following AUC personnel: Cora and Darin Lowther (Director, Market	
		NOTICE		
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	ontact the MSA compliance tea	m at compliance@albertamsa.ca.		
	TO THE TAX STATE OF THE PARTY O	SIGNATURE		

Name:

Signature:

Rob Spragins

Signature Date:

Title:

July 16, 2010

TATHER THE PERSON NAMED IN CONTROL OF THE PERSON NAMED IN CONT								
Date of Issue: July 1	6, 2010	_			Payment Do	ue Date: Aug	ust 1	6, 2010
MSA File Number:	amo:	2009-025-131	lutions	Specified Penalt Amount:	у	\$ 2,000		
Market Participant Na		NorthPoint Energy So	rutions	-				
Asset ID (if applicable	e):	SPBC		Self Report		☐ YES	$\boxtimes$	NO
ISO Rule:		6.3.3		Date of Contravention	1:	January 19,	2009	)
Date of Referral/Self	Report:	N/A		This is the 131 contra month period.	vention by th	asset for t	his ru	le within a rolling 12
			Ε	VENT DETAILS				
asset within the T-2 x MW. ISO rule 6.3.3 in through interchange two hours before the (exporter) who offers in which the the offer wheel-through interchange interchange by the system.	window fi requires t e-tag qua start of ( s (bids) e r is to tak hange tra tem conti	or January 19, 2009 for that the sum of the impartities (MW) for a sing the settlement interval nergy must submit an in- ine effect, if the some of insatcion e-tag quantition toller under rule 6.3.7,	r HE 11. porter's ( ple impor of the impenergy re f the imples (MW) the sum	SPBC asset at 09:16 w This restatement had t exporter's) e-tag quant it source (sink) asset m iporter (exporter) has a estatement in accordan corter's (exporter's) e-ta ) for such settlement int of the e-tag quantities ater than the AC offerre	he effect of in ities (MW) are ay only be less acceptable ce with rule ( ag quantities terval is less (MW) and in	ncreasing the nd importer's ss than the A operational of 3.5.3.2 prior (MW) and im than the AC. oporter's (exp	e AC v (exposed) C of streamont to the iporter Unless	value from 50 to 63 orter's) wheel- such asset stated in. Each importer e settlement interval er's (exporter's) iss otherwise it's) wheel through
interior.	•		-	FINDINGS		-		
Based upon the infor	mation of	otained by the MSA, th	e MSA is	satisfied that the even	t was a contr	avention of I	SO ru	le 6.3.3.
				ATERIAL FACTS		->	-	
3. MSA Inform 4. NorthPoint 5. MSA follow 6. NorthPoint 2009.  Payment by cheque of Alberta Utilities Comm payment should be at Delivery of payment should should be at Anderson coral anders	nation Re Energy S -up Infor Energy S - or certifier rission (A ddressed should als son@auc.	d funds is to be made of the Director of Final to the Director of Final to the Confirmed by emable of Salary Salar	response thPoint 8 09 and A - DELIN but to the 5 - 1st St nce, AUC ail to cor	utions dated June 23, 2e to MSA information re energy Solutions dated August 26, 2009 respon- VERY OF PAYMENT  e "General Revenue Full reet S.W., Calgary, Albe L. The payment should impliance@albertamsa.c. Finance) sabi.ghavaming	quest dated July 31, 2009 se to MSA inf and c/o Ministe erta, T2P 3L8 I reference tr a, with copy	ormation rec formation rec er of Finance Questions his notice and to the following	uest ", and in res direlating Al	d delivered to the spect of delivery of ted MSA File #.  JC personnel: Cora
Rules) darin lowther @	iauc.ab.c	a.						
				NOTICE				
issue a Notice of Specout in AUC Rule 019.  In accordance with the pay the specified pending with succordance with succeptance. If your organization dispension of the specified pendity.	ofied Pen ne relevar alty in ac 5(1) of A The MSA isputes th	alty where the MSA is at enactments and rules cordance with this not MUC Rule 019 this Notice will, if applicable, also the issuance of this Notice	satisfied  s, a displ ce will re te of Spe post on  ce of Sp	ower and authority und that a person has conti- ute regarding the issual esult in a hearing or oth edified Penalty will be m its website the link to a edified Penalty, or if you mat compliance@alber	nce of a Notice or proceeding ade public no ny decision o	SO rule. Specifie g before the pearlier 30 dof the AUC re-	d Per AUC. ays a spect	penalties are set halty or failure to and no later than 45 ing the specified
				SIGNATURE		V	83	
Signature:	Ros	et tour		Signature Date:	July	16, 2010		Lyman n
Name:		Rob Spragins	đ	Title:	Man	ager Investig	ation	S

Name:

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		CALCULATED NOTATION	
Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-130	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	•
Asset ID (if applicable):	SPBC	Self Report	☐ YES 図 NO
ISO Ruie:	6.3.3	Date of Contravention:	January 18, 2009
Date of Referral/Self Report:	N/A	This is the 130 contravention by timonth period.	his asset for this rule within a rolling 12
	ε	VENT DETAILS	
asset within the T-2 window for 57 MW. ISO rule 6.3.3 require through interchange e-tag quatwo hours before the start of the (exporter) who offers (bids) end which the the offer is to tak wheel-through interchange training requested by the system contributions.	or January 18, 2009 for HE 20- es that the sum of the importer intities (MW) for a single impor the settlement interval if the im- nergy must submit an energy re e effect, if the some of the imp insatcion e-tag quantities (MW) coller under rule 6.3.7, the sum	21. This restatement had the effect 's (exporter's) e-tag quantities (MW t source (sink) asset may only be leporter (exporter) has an acceptable estatement in accordance with rule lorter's (exporter's) e-tag quantities for such settlement interval is less.	than the AC. Unless otherwise mporter's (exporter's) wheel through
Raced upon the information of	stained by the MSA the MSA is	satisfied that the event was a conti	ravention of ISO rule 6.3.3
based apart the information of		ATERIAL FACTS	TOVERNOT OF 150 FOR U.S.S.
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infon</li> <li>NorthPoint Energy S</li> <li>2009.</li> </ol> Payment by cheque or certified Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	mation Request to NorthPoint E olutions August 13, 2009 and A DELIN d funds is to be made out to the UC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC to be confirmed by email to conablea, Sabi Ghavami (Director,	s applicable. utions dated June 23, 2009. e to MSA information request dated energy Solutions dated July 31, 2009 august 26, 2009 response to MSA in  /ERY OF PAYMENT e "General Revenue Fund c/o Minist reet S.W., Calgary, Alberta, T2P 3L8 . The payment should reference to inpliance@albertamsa.ca, with copy	9. Information request dated July 31,  ter of Finance", and delivered to the B. Questions in respect of delivery of
Rolesy daminownie gaac.ab.c	o.	NOTICE	
		ower and authority under s. 52 of t	he <i>Alberta Utilities Commission Act</i> to ISO rule. Specified penalties are set
		ute regarding the issuance of a Noti sult in a hearing or other proceeding	ice of Specified Penalty or failure to ng before the AUC.
days after issuance. The MSA penalty.	will, if applicable, also post on	its website the link to any decision o	
		ecified Penalty, or if you have any o m at compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	
Signature: Ash	Mong	Signature Date: July	7 16, 2010

Title:

Signature:

Name:

Rob Spragins

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Date of Issue: July 16, 2010		Payment C	Due Date: August 16, 2010		
MSA File Number:	2009-025-129	Specified Penalty	\$ 2,000		
Market Participant Name:	NorthPoint Energy Solutions	Amount:			
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO		
ISO Rule:	6.3.3	Date of Contravention:	January 12, 2009		
Date of Referral/Self Report:	N/A	This is the 129 contravention by t month period.	his asset for this rule within a rolling 12		
	Ë	VENT DETAILS			
On January 12, 2009 an offer restatement was submitted for SP8C asset at 19:01 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 22. This restatement had the effect of increasing the AC value from 75 to 77 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement					
		FINDINGS			
Based upon the information of	otained by the MSA, the MSA is	satisfied that the event was a conf	ravention of ISO rule 6.3.3.		
	M	ATERIAL FACTS			
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for January 12, 2009.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.					
	DELT	VERY OF PAYMENT			
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.					
	NOTICE				
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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 30 days 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.					
		ecified Penalty, or if you have any om at compliance@aibertamsa.ca.	other questions or comments		

Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-128	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Aillouit.		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	January 12, 2009	
Date of Referral/Self Report:	N/A	This is the 128 contravention by month period.	this asset for this rule within a rolling 12	
	E	VENT DETAILS		
asset within the T-2 window fig. MW. ISO rule 6.3.3 requires to through interchange e-tag quitwo hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange transquested by the system continuous interchange transquested by the system continuous interchange.	or January 12, 2009 for HE 7. I that the sum of the importer's ( antities (MW) for a single imported the settlement interval if the im- nergy must submit an energy rule effect, if the some of the imported the imported that it is the some of the imported that it is the sum of the sum of the imported that it is the sum of the sum	This restatement had the effect of exporter's) e-tag quantities (MW) it source (sink) asset may only be porter (exporter) has an acceptal estatement in accordance with ruporter's (exporter's) e-tag quantitie) for such settlement interval is less of the e-tag quantities (MW) and ater than the AC offerred two hou	ased the available capability (AC) for the increasing the AC value from 0 to 50 and importer's (exporter's) wheelules that the AC of such asset stated ble operational reason. Each importer if 3.5.3.2 prior to the settlement intervales (MW) and importer's (exporter's) ss than the AC. Unless otherwise dimporter's (exporter's) wheel through airs before the start of a settlement	
		FINDINGS		
Based upon the information of		satisfied that the event was a co	ntravention of ISO rule 6,3,3.	
<ol> <li>AESO restatement of</li> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information</li> </ol>	mation Request to NorthPoint E	12, 2009. is applicable. utions dated June 23, 2009. e to MSA information request date Energy Solutions dated July 31, 20		
	DELI/	ERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3 C. The payment should reference apliance@albertamsa.ca, with cop	ister of Finance", and delivered to the BL8. Questions in respect of delivery of e this notice and related MSA File #. by to the following AUC personnel: Corada, and Darin Lowther (Director, Market	
	*			
			f the Alberta Utilities Commission Act to n ISO rule. Specified penalties are set	
		ute regarding the issuance of a N esult in a heaning or other proceed	otice of Specified Penalty or failure to ding before the AUC.	
			no earlier 30 days and no later than 45 n of the AUC respecting the specified	
		ecified Penalty, or if you have any m at compliance@albertamsa.ca.		
		SIGNATURE		
Signature: A A	110	Signature Date: Jo	uly 16, 2010	

Manager Investigations

Rob Spragins

Name:

	NOTICE OF	SPECIFIED PENALTY			
Date of Issue: July 16, 2010		Payment D	Due Date: August 16, 2010		
MSA File Number:	2009-025-127	Specified Penalty Amount:	\$ 2,000		
Market Participant Name:	NorthPoint Energy Solutions				
Asset ID (if applicable):	SP8C	Self Report	☐ YES 🖾 NO		
ISO Rule:	6.3.3	Date of Contravention:	January 7, 2009		
Date of Referral/Self Report:	N/A	This is the 127 contravention by t month period.	his asset for this rule within a rolling 12		
	E	VENT DETAILS			
through interchange e-tag que two hours before the start of the (exporter) who offers (bids) et in which the the offer is to tak wheel-through interchange tra- requested by the system contri-	75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.				
Based upon the information of	_ otained by the MSA, the MSA is	FINDINGS satisfied that the event was a cont	travention of ISO rule 6.3.3.		
	M/	ATERIAL FACTS			
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for January 7, 2009.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.					
	DELIV	/ERY OF PAYMENT			
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	(UC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC to be confirmed by email to con ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L . The payment should reference to hipliance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #.  to the following AUC personnel: Coral and Darin Lowther (Director, Market		
		NOTICE			
			the <i>Alberta Utilities Commission Act</i> to 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 30 days 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.

SIGNATURE

Signature:

Name.

Signature Date:

July 16, 2010

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-126	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		φ <b>2,000</b>
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 3, 2009
Date of Referral/Self Report:	N/A	This is the 126 contravention by month penod.	this asset for this rule within a rolling 12
	£	VENT DETAILS	
0 . 1	and the second s	2000	- 1 th 1 th 1 th 1 th 1

On January 3, 2009 an offer restatement was submitted for SPBC asset at 05:44 which increased the available capability (AC) for the asset within the T-2 window for January 3, 2009 for HE 8. This restatement had the effect of increasing the AC value from 25 to 105 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for January 3 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertanasa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days and no later than 45 days after issuance. The MSA will, Mapplicable, 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.

SIGNATURE

Signature:

Name:

Don Soraging

Signature Date:

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010	
• •	2000 025 425	,		
MSA File Number:	2009-025-125	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions .	, and and		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	January 2, 2009	
Date of Referral/Self Report:	N/A	This is the 125 contravention by the month period,	his asset for this rule within a rolling 12	
	E	VENT DETAILS		
On January 2, 2009 an offer restatement was submitted for SPBC asset at 13:18 which increased the available capability (AC) for the asset within the T-2 window for January 2, 2009 for HE 14-16. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.				
		FINDINGS		
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.	
	M/	ATERIAL FACTS		
<ol> <li>AESO restatement data for SPBC asset for January 2 2009.</li> <li>AESO information request, response, and referral as applicable.</li> <li>MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.</li> <li>NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.</li> <li>MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.</li> <li>NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.</li> </ol>				
	DELIV	ERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.			
		NOTICE		
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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.				
SIGNATURE				
Signature: 1	det Runa	Signature Date: Juiy	16, 2010	
Name:	Rob Spragins	Title: Mar	nager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-124	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	+ =/350	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	January 2, 2009	
Date of Referral/Self Report:	N/A	This is the 124 contravention to month period.	by this asset for this rule within a rolling 1.	
<del></del>				

#### EVENT DETAILS

On January 2, 2009 an offer restatement was submitted for SP8C asset at 07:48 which increased the available capability (AC) for the asset within the T-2 window for January 2, 2009 for HE 8-9. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for January 2, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

#### SIGNATURE

	- 7 7		n 11-m-14
Signature:	Noter of Suran	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-123 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report YES ⊠ NO Asset ID (if applicable): SPBC ISO Rule: Date of Contravention: December 30, 2008 6.3.3 This is the 123 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

#### **EVENT DETAILS**

On December 30, 2008 an offer restatement was submitted for SPBC asset at 17:05 which increased the available capability (AC) for the asset within the T-2 window for December 30, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for December 30, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

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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.

SIGNATURE

Signature:

Namie:

Roh Spragins

Signature Date:

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment	Due Date: August 16, 2010
MSA File Number:	2009-025-122	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	December 29, 2008
Date of Referral/Self Report:	N/A	This is the 122 contravention by month period.	this asset for this rule within a rolling 12
	E	VENT DETAILS	
the asset within the T-2 wind to 25 MW. ISO rule 6.3.3 rec through interchange e-tag que two hours before the start of (exporter) who offers (bids) of in which the the offer is to tall wheel-through interchange threquested by the system contribution of the contribution of the system contribution of the co	ow for December 29, 2008 for had inerther that the sum of the importantities (MW) for a single import the settlement interval if the import and energy must submit an energy riske effect, if the some of the impansatcion e-tag quantities (MW) troller under rule 6.3.7, the sum	HE 18. This restatement had the a ter's (exporter's) e-tag quantities it source (sink) asset may only be aporter (exporter) has an accepta estatement in accordance with ru porter's (exporter's) e-tag quantiti of the e-tag quantities (MW) and of the e-tag quantities (MW) and	reased the available capability (AC) for affect of increasing the AC value from 0 (MW) and importer's (exporter's) wheeleless than the AC of such asset stated ble operational reason. Each importer le 3.5.3.2 prior to the settlement interval es (MW) and importer's (exporter's) ss than the AC. Unless otherwise d importer's (exporter's) wheel through ars before the start of a settlement
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a co	intravention of ISO rule 6.3.3.
5 5 5 5 5 5 5	M	ATERIAL FACTS	
<ol> <li>MSA Information Red</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Info</li> <li>NorthPoint Energy S</li> <li>2009.</li> </ol> Payment by cheque or certified Alberta Utilities Commission (payment should be addressed)	rmation Request to NorthPoint & Solutions August 13, 2009 and & DELN ad funds is to be made out to the AUC) at: 4th Floor, 425 - 1st St at to the Director of Finance, AUC	utions dated June 23, 2009. e to MSA information request dat Energy Solutions dated July 31, 2: August 26, 2009 response to MSA VERY OF PAYMENT  e "General Revenue Fund c/o Mir reet S.W., Calgary, Alberta, T2P: The payment should reference	nister of Finance", and delivered to the SLS. Questions in respect of delivery of this notice and related MSA File #.
	tab.ca, Sabi Ghavami (Director, ca.		py to the following AUC personnel: Cora ca, and Darin Lowther (Director, Market
		NOTICE	
			f the <i>Alberta Utilities Commission Act</i> to n ISO rule. Specified penalties are set
		ute regarding the issuance of a Nesult in a hearing or other procee	otice of Specified Penalty or failure to ding before the AUC.
			no earlier 30 days and no later than 45 n of the AUC respecting the specified
		ecified Penalty, or if you have an mat compliance@albertamsa.ca.	
SIGNATURE			
Signature: $M$	last Rung	Signature Date: )	uly 16, 2010
Name:	Rob Spragins	Title:	lanager Investigations

# NOTICE OF SPECIFIED PENALT Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-121 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES M NO Asset ID (if applicable): SPBC December 23, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 121 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. EVENT DETAILS On December 23, 2008 an offer restatement was submitted for SPBC asset at 00:23 which increased the available capability (AC) for the asset within the T-2 window for December 23, 2008 for HE 2-3. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. FINDINGS Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPBC asset for December 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora

Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

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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.

a - a - a - a - a - a - a - a - a -	·····, <u>E 2-2-</u> ,	SIGNATURE		
Signature:	Robert A.	Signature Date:	July 16, 2010	
Name:	Rob Spragins	O Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-120	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	YES NO	
ISO Rule:	6.3.3	Date of Contravention:	December 22, 2008	
Date of Referral/Self Report:	N/A	This is the 120 contravention month period.	by this asset for this rule within a rolling 12	
	E	VENT DETAILS		

On December 22, 2008 an offer restatement was submitted for SPBC asset at 17:16 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 pnor to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 22, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE

Signature:

Name:

Roh Spragers

Signature Date:

July 16, 2010

Title:

# NOTTICE OF SPECIE ISD PENALTY

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-119	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 -7***	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 22, 2008	
Date of Referral/Self Report:	N/A	This is the 119 contravention month period.	by this asset for this rule within a rolling 12	
	1.01			

#### **EVENT DETAILS**

On December 22, 2008 an offer restatement was submitted for SPBC asset at 02:05 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 3-5. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### **DELIVERY OF PAYMENT**

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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 galbertamsa.cz.

SIGNATURE

Signature: Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-118 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report Asset ID (if applicable): SPBC ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 21, 2008 This is the 118 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

#### **EVENT DETAILS**

On December 21, 2008 an offer restatement was submitted for SPBC asset at 23:55 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 21, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamssica, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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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 30 days 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.

		SIGNATURE	
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Signature:	Role 1 Bun	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

	NOTICE OF	SPECIFIED PEVALT	<b>v</b>
Date of Issue: July 16, 2010		Payma	ent Due Date: August 16, 2010
MSA File Number:	2009-025-117	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	December 21, 2008
Date of Referral/Self Report:	N/A	This is the 117 contravention month period.	by this asset for this rule within a rolling 12
	6	EVENT DETAILS	
5 MW. ISO rule 6.3.3 require through interchange e-tag qu two hours before the start of (exporter) who offers (bids) ean which the the offer is to tak wheel-through interchange transpared by the system continuous forms.	is that the sum of the importer's antities (MW) for a single import the settlement interval if the im energy must submit an energy range we effect, if the some of the imparanticion e-tag quantities (MW roller under rule 6.3.7, the sum	s (exporter's) e-tag quantities ( rt source (sink) asset may only porter (exporter) has an accep estatement in accordance with porter's (exporter's) e-tag quan ) for such settlement interval is n of the e-tag quantities (MW) a ater than the AC offerred two h	effect of increasing the AC value from 0 to (MW) and importer's (exporter's) wheelbe less than the AC of such asset stated otable operational reason. Each importer rule 3.5.3.2 prior to the settlement intervalities (MW) and importer's (exporter's) is less than the AC. Unless otherwise and importer's (exporter's) wheel through mours before the start of a settlement
		FINDINGS	
8ased upon the information o	btained by the MSA, the MSA is	satisfied that the event was a	contravention of JSO rule 6.3.3.
. D	M	ATERIAL FACTS	
<ol> <li>AESO restatement of</li> </ol>	by the MSA include the follow data for SPBC asset for December equest, response, and referral a	er 21, 2008.	

- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

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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.

#### **SIGNATURE**

Signature:

Signature Date.

July 16, 2010

nlame:

Title:

Date of Issue: July 16, 2010	_	Payment D	ue Date: August 16, 2010	
MSA File Number:	2009-025-116	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	· · <u>-</u>	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 21, 2008	
Date of Referral/Self Report:	N/A	This is the 116 contravention by timonth period.	his asset for this rule within a rolling 12	
	E	VENT DETAILS		
the asset within the T-2 windo to 5 MW. ISO rule 6.3.3 requ through interchange e-tag qua two hours before the start of the (exporter) who offers (bids) e- in which the the offer is to tak wheel-through interchange tra- requested by the system contri	ow for December 21, 2008 for hires that the sum of the imported antities (MW) for a single imported the settlement interval if the impergy must submit an energy rate effect, if the some of the impensation e-tag quantities (MW) roller under rule 6.3.7, the sum	HE 24. This restatement had the effects (exporter's) e-tag quantities (M' it source (sink) asset may only be le aporter (exporter) has an acceptable estatement in accordance with rule corter's (exporter's) e-tag quantities of for such settlement interval is less	than the AC. Unless otherwise mporter's (exporter's) wheel through	
	1 Vol. 7	FINDINGS	water Caracana	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.	
	Mi	ATERIAL FACTS		
AESO information re     MSA Information Re     NorthPoint Energy S     MSA follow-up Infor	mation Request to NorthPoint E solutions August 13, 2009 and A	is applicable.	9.	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should also	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to con ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3U . The payment should reference to high ance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market	
		NOTICE		
			he <i>Alberta Utilities Commission Act</i> to ISO rule. Specified penalties are set	
		ute regarding the issuance of a Not suit in a hearing or other proceeding	ace of Specified Penalty or failure to ag before the AUC.	
		cified Penalty will be made public n its website the link to any decision	to earlier 30 days and no later than 45 of the AUC respecting the specified	
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.				
SIGNATURE				
Signature: Q1	les Bung	-Signature Date: July	16, 2010	

Titte:

Manager Investigations

Rob Spragins

Name:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-115	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPaint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 20, 2008	
Date of Referral/Self Report:	N/A	This is the 115 contravention by t month period.	this asset for this rule within a rolling 12	

#### EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPBC asset at 10:15 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for December 20, 2008.
   AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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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.

SIGNATURE Signature Date: July 15, 2010 Signature: Name: Manager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-114 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: SPBC Self Report ☐ YES Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: December 19, 2008 This is the 114 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

#### EVENT DETAILS

On December 19, 2008 an offer restatement was submitted for SPBC asset at 07:02 which increased the available capability (AC) for the asset within the T-2 window for December 19, 2008 for HE 9. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

## MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 19, 2008.
- AESO information request, response, and referral as applicable.
   MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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#### SIGNATURE

Signature Date: July 16, 2010 Signature: Manager Investigations Marrya:

Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010			
MSA File Number:	2009-025-113	Specified Penalty Amount:	\$ 2,000			
Market Participant Name:	NorthPaint Energy Solutions	Amount.				
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO			
ISO Rule:	6.3.3	Date of Contravention:	December 18, 2008			
Date of Referral/Self Report:	N/A	This is the 113 contravention by the month period.	his asset for this rule within a rolling 12			
	E	VENT DETAILS				
the asset within the T-2 windo to 30 MW. ISO rule 6.3.3 req through interchange e-tag qui two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system conti	On December 18, 2008 an offer restatement was submitted for SPBC asset at 21:34 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 23. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement					
		FINDINGS				
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a contr	ravention of ISO rule 6.3.3.			
	MA	ATERIAL FACTS				
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> </ol>	mation Request to NorthPoint E iolutions August 13, 2009 and A	s applicable.	9.			
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	NUC) at: 4th Floor, 425 - 1st Sti to the Director of Finance, AUC so be confirmed by email to con ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L8 . The payment should reference ti apliance@albertamsa.ca, with copy	ner of Finance", and delivered to the 3. Questions in respect of delivery of his notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market			
		NOTICE				
			ne <i>Alberta Utilities Commission Act</i> to SO rule. Specified penalties are set			
		ite regarding the issuance of a Noti sult in a hearing or other proceedin	ce of Specified Penalty or failure to g before the AUC.			
		cified Penaity will be made public no ts website the link to any decision o	o earlier 30 days and no later than 45 of the AUC respecting the specified			
		ecified Penalty, or if you have any o n at compliance@albertamsa.ca.	ther questions or comments			
SIGNATURE						
Signature: Aste	M Kung	Signature Date: July	16, 2010			
Name:	Rob Spragins	Title: Mar	nager Investigations			

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-112	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000	
Asset IO (if applicable):	SPBC	Self Report	☐ YES ☑ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 18, 2008	
Date of Referral/Self Report:	N/A	This is the 112 contravention by ti month period.	ns asset for this rule within a rolling 12	
	E	VENT DETAILS	,,	
On December to 2000 an off	as sostatament was submitted t	for COOC agent at 10,30 which incre-	and the musichle appoint (AC) for	

On December 18, 2008 an offer restatement was submitted for SPBC asset at 19:28 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 21-22. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 18, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Notes Twee	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# (9)3(9)3(8)3(2)5(3(2)(28)(23)(3)(4)

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-111	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Salutions	Amount:	4 2,000	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 18, 2008	
Date of Referral/Self Report:	N/A	This is the 111 contravention I month period.	by this asset for this rule within a rolling 17	

# **EVENT DETAILS**

On December 18, 2008 an offer restatement was submitted for SPBC asset at 05:08 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 18, 2008.
- AESO information request, response, and referral as applicable.
   MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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### DELIVERY OF PAYMENT

. . . . . . .

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@ailierfamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabilghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) dann.lowther@auc.ab.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 0.19 this Notice of Specified Penalty will be made public no earlier 30 days 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.

		SIGNATURE		
	1-1-1	arien barrier i ee	The second of th	
Signature:	Aster Byes	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

# Metales of chequialdy benyis

Date of Issue: July 16, 2010	e of Issue: July 16, 2010 Payment Due Date: August 16,		t Due Date: August 16, 2010
MSA File Number:	2009-025-110	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	December 17, 2008
Date of Referral/Self Report:	·	This is the 110 contravention by this asset for this rule within a rolling 12 month period.	
		NENT DETAILS	

On December 17, 2008 an offer restatement was submitted for SPBC asset at 17:55 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 20. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 17, 2008.
- AESO information request, response, and referral as applicable.
   MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Afberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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 119 this Notice of Specified Penalty will be made public no earlier 30 days 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

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.

	SIGNATURE		
	1111		
Signature:	What Kum	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-109	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	December 17, 2008
Date of Referral/Self Report:	N/A	This is the 109 contravention by this asset for this rule within a rolling L2 month period.	
	Ε	VENT DETAILS	
the asset within the T-2 winds	ow for December 17, 2008 for h		ased the available capability (AC) for ect of increasing the AC value from 2

On December 17, 2008 an offer restatement was submitted for SPBC asset at 14:06 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 17. This restatement had the effect of increasing the AC value from 2 to 27 MW. At 15:32, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 27 MW to 25 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SP8C asset for December 17, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

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#### NOTICE

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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 sarrier 30 days 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 Penally, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

## SIGNATURE

Signature: After Spring Signature Date: July 16, 2010

Name: Rob Spragins Tibe: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-108	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	ψ <b>2</b> /000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	December 17, 2008
Date of Referral/Self Report:	N/A	This is the 108 contravention by this asset for this rule within a rolling month period.	

# **EVENT DETAILS**

On December 17, 2008 an offer restatement was submitted for SPBC asset at 12:15 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 14. This restatement had the effect of increasing the AC value from 0 to 2 MW. At 12:21, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 2 MW to 1 MW for HE 14. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 17, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

#### NOTICE

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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 30 days 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.

#### SIGNATURE

Signature:	Motor 1 Azero	Signature Date:	July 16, 2010
Name:	Rob Spragins	J Title:	Manager Investigations

Date of Issue: July 16, 2010	010 Payment Due Date: August 16, 201		it Due Date: August 16, 2010
MSA File Number:	2009-025-107	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, _ <b>,</b> ,
Asset ID (if applicable):	SPBC	Self Report	YES NO
ISO Rule:	6.3.3	Date of Contravention:	December 17, 2008
Date of Referral/Self Report:	N/A	This is the 107 contravention to month period.	by this asset for this rule within a rolling 12
	F	VENT DETAILS	

On December 17, 2008 an offer restatement was submitted for SPBC asset at 06:01 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

## MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 17, 2008.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albeitainsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

### NOTICE

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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 30 days 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.

	SIGNATURE				
	1 1 . 1 . 1 .	• · · · · · · · · · · · · · · · · · · ·		I II #2	
Signature:	MIN Bus	Signature Date:		July 16, 2010	
Name:	Rob Spragins	Title:		Manager Investig	gations

Date of Issue: July 16, 2010	of Issue: July 16, 2010 Payment Due Date: August 16, 20		nt Due Date: August 16, 2010
MSA File Number:	2009-025-106	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	December 12, 2008
Date of Referral/Self Report: N/A		This is the 106 contravention month period.	by this asset for this rule within a rolling 12
·	100.00		The state of the s

## **EVENT DETAILS**

On December 12, 2008 an offer restatement was submitted for SPBC asset at 23:41 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 25 to 39 MW for HE 1 and increasing the AC vale from 25 to 40 for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 12, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavamı (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

SIGNATURE

Signature:

July 16, 2010

Name:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-105	\$ 2.000		
Market Participant Name:	NorthPoint Energy Solutions	Amount:	7 -1	
Asset 1D (if applicable):	SPBC .	Seif Report	☐ YES ☑ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 11, 2008	
Date of Referral/Self Report:	N/A	This is the 105 contravention by this asset for this rule within a rolling 12 month period.		

### **EVENT DETAILS**

On December 11, 2008 an offer restatement was submitted for SPBC asset at 09:02 which increased the available capability (AC) for the asset within the T-2 window for December 11, 2008 for HE 11-12. This restatement had the effect of increasing the AC value from 0 to 50 MW for HE 11-12. At 09:20, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 MW to 53 MW for HE 12. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for December 11, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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.

#### SIGNATURE

Signature: Signature Date: July 15, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-104	Specified Penalty \$ 2,000		
Market Participant Name:	NorthPoint Energy Solutions	Amount:	* <b>-</b> /000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 10, 2008	
Date of Referral/Self Report:	N/A	This is the 104 contravention by this asset for this rule within a rolling month period.		

### **EVENT DETAILS**

On December 10, 2008 an offer restatement was submitted for SPBC asset at 15:07 which increased the available capability (AC) for the asset within the T-2 window for December 10, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement The second of the second was

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 10, 2008.
- AESO information request, response, and referral as applicable.
   MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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		SIGNATURE	
Character was	Notest Break		2.6
Signature	1 court 12/11-20	Signature Date:	July 16, 2010
Varne:	:Rob Spragins	Title:	Manager Investigations

Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-103 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): SPBC Self Report ☐ YES M NO Date of Contravention: December 8, 2008 ISO Rule: 6.3.3 This is the 103 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. 

## EVENT DETAILS

On December 8, 2008 an offer restatement was submitted for SPBC asset at 08:55 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 11. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for December 8, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature: About Ty t Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-102 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report Asset ID (if applicable): SPBC NO ISO Rule: 6.3.3 Date of Contravention: December 8, 2008 This is the 102 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 8, 2008 an offer restatement was submitted for SPBC asset at 00:44 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 02. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval

## FINDINGS

in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

interval.

- 1. AESO restatement data for SPBC asset for December 8, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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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.

Signature Signature Date: July 16, 2010

Name: Rob Spragins Title: Mainager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-101	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
TSO Rule:	6.3.3	Date of Contravention:	December 6, 2008	
Date of Referral/Self Report:	N/A	This is the 101 contravention by this asset for this rule within a month period.		
		OFFICE OFFICE		

#### EVENT DETAILS

On December 6, 2008 an offer restatement was submitted for SPBC asset at 06:43 which increased the available capability (AC) for the asset within the T-2 window for December 6, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 25 to 39 MW for HE 8 and increasing the AC value from 25 to 36 MW for HE 9. At 07:47, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 36 MW to 29 MW for HE 9. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transatcion e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

## FINDINGS

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- 2. AESO information request, response, and referral as applicable.
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- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:

Name.

Signature Date:

July 16, 2010

Titie:

	NOTICE OF	SHACIFIED HEAVETA		
Date of Issue: July 16, 2010		Payment D	Due Date: August 16, 2010	
MSA File Number:	2009-025-100	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☑ NO	
ISO Rule:	6.3.3	Date of Contravention:	December 2, 2008	
Date of Referral/Self Report:	N/A	This is the 100 contravention by t month period.	his asset for this rule within a rolling 12	
	E	VENT DETAILS		
asset within the T-2 window f MW. ISO rule 6.3.3 requires through interchange e-tag que two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system conti-	or December 2, 2008 for HE 24 that the sum of the importer's (antibes (MW) for a single imported the settlement interval if the impergy must submit an energy nucle effect, if the some of the impensation e-tag quantities (MW) roller under rule 6.3.7, the sum	I. This restatement had the effect of exporter's) e-tag quantities (MW) a rt source (sink) asset may only be in porter (exporter) has an acceptable estatement in accordance with rule corter's (exporter's) e-tag quantities of for such settlement interval is less	ess than the AC of such asset stated e operational reason. Each importer 3.5.3.2 prior to the settlement interval (MW) and importer's (exporter's) than the AC. Unless otherwise importer's (exporter's) wheel through	
		FINDINGS		
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	travention of ISO rule 6.3.3.	
	M	ATERIAL FACTS		
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for December 2, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.				
	DELIN	VERY OF PAYMENT	3 0 7/5 -= 32 = 3	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should also	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	treet S.W., Calgary, Alberta, T2P 3L C. The payment should reference in high ance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market	
		NOTICE		
			the Alberta Utilities Commission Act to ISO rule. Specified penalties are set	
		ute regarding the issuance of a Notesult in a hearing or other proceeding	ace of Specified Penalty or failure to ag before the AUC.	
			o earlier 30 days and no later than 45 of the AUC respecting the specified	
		ecified Penalty, or if you have any o m at comp⊪ance@albertamsa.ca.	other questions or comments	
		SIGNATURE		
Signature: No	let King	Signature Date: July	y 16, 2010	
Name:	Rob Spragins	Title: Ma	nager Investigations	

D. C. L. L. C. 2010			Part A service 2010
Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-99	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	December 2, 2008
Date of Referral/Self Report:	N/A	This is the 99 contravention by thi month period.	s asset for this rule within a rolling 12
	E	VENT DETAILS	
asset within the T-2 window fi MW. ISO rule 6.3.3 requires to through interchange e-tag que two hours before the start of to (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system contri	or December 2, 2008 for HE 23 that the sum of the importer's (cantities (MW) for a single imported settlement interval if the impergy must submit an energy rese effect, if the some of the impensation e-tag quantities (MW) roller under rule 6.3.7, the sum	. This restatement had the effect of exporter's) e-tag quantities (MW) as t source (sink) asset may only be le porter (exporter) has an acceptable estatement in accordance with rule orter's (exporter's) e-tag quantities if or such settlement interval is less	ess than the AC of such asset stated operational reason. Each importer 3.5.3.2 prior to the settlement interval (MW) and importer's (exporter's) than the AC. Unless otherwise importer's (exporter's) wheel through
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a conti	ravention of ISO rule 6.3.3.
	M	ATERIAL FACTS	
<ol> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> </ol>	mation Request to NorthPoint E folutions August 13, 2009 and A		9.
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	AUC) at: 4th Floor, 425 - 1st Sti to the Director of Finance, AUC so be confirmed by email to con ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L8 The payment should reference t nphance@albertamsa.ca, with copy	er of Finance", and delivered to the B. Questions in respect of delivery of his notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
			ne <i>Alberta Utilities Commission Act</i> to SO rule. Specified penalties are set
		ute regarding the issuance of a Noti isult in a hearing or other proceeding	ce of Specified Penalty or failure to ig before the AUC.
		cified Penalty will be made public nits website the link to any decision of	o earlier 30 days and no later than 45 of the AUC respecting the specified
If your organization disputes the regarding this matter, please of	ne issuance of this Notice of Spi ontact the MSA compliance teal	ecified Penalty, or if you have any o m at compliance@albertamsa.ca.	ther questions or comments
		SIGNATURE	
Signature: /	de Kjung	Signature Date: July	16, 2010
Name:	Rob Spragins	Title: Mar	lager Investigations

Date of Issue: July 16, 2010	SEMBATO EXC. SEE MA	Payment D	Due Date: August 16, 2010
MSA File Number:	2009-025-98	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	November 29, 2008
Date of Referral/Self Report:	N/A	This is the 98 contravention by the month period.	is asset for this rule within a rolling 12
	E	VENT DETAILS	
the asset within the T-2 windo to 55 MW. At 12:35, another 55 MW to 44 MW for HE 14. (exporter's) wheel-through into such asset stated two hours b Each importer (exporter) who settlement interval in which the importer's (exporter's) wheel- Unless otherwise requested by	ow for November 29, 2008 for I restatement was submitted wit ISO rule 6.3.3 requires that the terchange e-tag quantities (MW efore the start of the settlement offers (bids) energy must submet the offer is to take effect, if through interchange transatcion of the system controller under restatements.	HE 14. This restatement had the efficining the T-2 window that had the efficient of the importer's (exporter's) for a single import source (sink) and interval if the importer (exporter) nit an energy restatement in according to the some of the importer's (exporten e-tag quantities (MW) for such selected 13.7, the sum of the e-tag quantities (MW) for such selected 15.5.	
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.
	M.	ATERIAL FACTS	
AESO restatement of AESO information results.     MSA Information Results.     NorthPoint Energy Section MSA follow-up Information.	mation Request to NorthPoint 6	er 29, 2008. is applicable.	9.
	DELI/\	VERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should also	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L C. The payment should reference t aptiance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
Issue a Notice of Specified Per- out in AUC Rule 019.  In accordance with the relevan- pay the specified penalty in accordance with s. 5(1) of A days after issuance. The MSA penalty.  If your organization disputes the	nalty where the MSA is satisfied interactments and rules, a displaced cordance with this notice will react auch the satisfied will, if applicable, also post on the issuance of this Notice of Spenies.	that a person has contravened and ute regarding the issuance of a Not esult in a hearing or other proceeding edified Penalty will be made public in	o earlier 30 days and no later than 45 of the AUC respecting the specified
- value and madely product		SIGNATURE	
1 H H ==			
Signature:	lest Al	Signature Date: July	16, 2010

Title:

Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-97	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	November 28, 2008	
Date of Referral/Self Report:	N/A	This is the 97 contravention by this asset for this rule within a rolling 1 month period.		
	-			

#### **EVENT DETAILS**

On November 28, 2008 an offer restatement was submitted for SPBC asset at 07:11 which increased the available capability (AC) for the asset within the T-2 window for November 28, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 28 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for November 28, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) dann.lowther@auc.ab.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 30 days 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@albertanisa.ca.

#### SIGNATURE

T	1 1		
Signature:	Notar Bund	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
			3.000	
MSA File Number:	2009-025-96	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	November 27, 2008	
Date of Referral/Self Report:	N/A	This is the 96 contravention by this asset for this rule within a rolling 12 month period.		
	E	VENT DETAILS		

On November 27, 2008 an offer restatement was submitted for SPBC asset at 22:39 which increased the available capability (AC) for the asset within the T-2 window for November 28, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 30 MW. At 23:14 on November 27, 2008, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 30 MW to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for November 27, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin lowther@auc.ab.ca.

#### NOTICE

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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 30 days 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.

		SIGNATURE	
	1 Liste		11.15.300
Signature:	1 mer Spin	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

	No.	STEWART NEW YORK		
Date of Issue: July 16, 2010	NOTICE OF SPECIFIED PENALTY			
Date of issue. July 16, 2010			rue Date: August 16, 2010 —	
MSA File Number:	2009-025-95	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPaint Energy Solutions	Amount:	+ -/	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	November 27, 2008	
Date of Referral/Self Report:	N/A	This is the 95 contravention by the month period.	is asset for this rule within a rolling 12	
	Ε	VENT DETAILS		
On November 27, 2008 an offer restatement was submitted for SPBC asset at 05:21 which increased the available capability (AC) for the asset within the T-2 window for November 27, 2008 for HE 1. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.  FINDINGS				
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3,	
	Ma	ATERIAL FACTS		
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for November 27, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.  DELIVERY OF PAYMENT				
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #, Delivery of payment should also be confirmed by email to compliance@albertainsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.				
		NOTICE		
	, , ,	•	the Alberta Utilities Commission Act to ISO rule. Specified penalties are set	

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 30 days 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.

SIGNATURE

Signature:

Name:

Rob Soragi

Signature Date

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-94	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, , , , , , , , , , , , , , , , , , , ,	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	November 26, 2008	
Date of Referral/Self Report:	N/A	This is the 94 contravention by this asset for this rule within a rolling 12 month period.		
	_			

#### **EVENT DETAILS**

On November 26, 2008 an offer restatement was submitted for SPBC asset at 04:02 which increased the available capability (AC) for the asset within the T-2 window for November 26, 2008 for HE 7. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDING\$

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for November 26, 2008.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #, Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

## NOTICE

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In accordance with s. S(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

		SIGNATURE	
Signature:	Notal Burg	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title;	Manager Investigations

	PUBLIC BELL Printer Speciments of	the first parties are before the free before the	
Date of Issue: July 16, 2010		Payment D	Due Date: August 16, 2010
MSA File Number:	2009-025-93	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	November 24, 2008
Date of Referral/Self Report:	N/A	This is the 93 contravention by the month period.	is asset for this rule within a rolling 12
	E	VENT DETAILS	
9 MW. At 22:57 on Novembethe AC value from 9 MW to 6 e-tag quantities (MW) and impasset may only be less than thas an acceptable operational accordance with rule 3.5.3.2 p (exporter's) e-tag quantities (less than quantities (MW) and importer's).	r 24, 2008, another restatement MW for HE 1 on November 25, porter's (exporter's) wheel-throme AC of such asset stated two reason. Each importer (exporter to the settlement interval in MW) and importer's (exporter's the AC. Unless otherwise requires as the AC. Unless otherwise requires as the AC.	It was submitted within the T-2 win 2008. ISO rule 6.3.3 requires that ugh interchange e-tag quantities (Mours before the start of the settleriter) who offers (bids) energy must in which the the offer is to take effel) wheel-through interchange transauested by the system controller und terchange transaction e-tag quantitial.	
		FINDINGS	
Based upon the information of		satisfied that the event was a cont ATERIAL FACTS	travention of ISO rule 6.3.3.
<ol> <li>AESO restatement of</li> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> <li>NorthPoint Energy S</li> </ol>	mation Request to NorthPoint E	per 24, 2008. os applicable.	9.
2009.			
	DELIN	VERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	NUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L The payment should reference to mpliance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
			the Alberta Utilities Commission Act to ISO rule. Specified penalties are set
		ute regarding the issuance of a Not esult in a hearing or other proceeding	uce of Specified Penalty or failure to ing before the AUC.
			o earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penalty, or if you have any om at compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	

Signature: Molect 43, extra Signature Date: July 16, 2010

Name: Rob Spragurs Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-92	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	1 -7	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	November 24, 2008	
Date of Referral/Self Report:	N/A	This is the 92 contravention by this asset for this rule within a rolling month period.		
	8	VENT DETAILS		

On November 24, 2008 an offer restatement was submitted for SPBC asset at 22:16 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for November 24, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 318. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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If your organization disputes the issuance of this Nobice 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.

SIGNATURE

Signature:

Jones Johns

Signature Date:

July 16, 2010

Vame:

interval.

Roth Spragins

Title:

Date of Issue: July 16, 2010		Payment I	Due Date: August 16, 2010
MSA File Number:	2009-025-91	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 2/000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule;	6.3.3	Date of Contravention:	November 24, 2008
Date of Referral/Self Report:	N/A	This is the 91 contravention by the month period.	nis asset for this rule within a rolling 12
	E	EVENT DETAILS	
Date of Referral/Self Report:	N/A E	This is the 91 contravention by the month period.	nis asset for this rule within a ro

On November 24, 2008 an offer restatement was submitted for SPBC asset at 21:17 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 23. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for November 24, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.

- .. . - ....

 NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.fowther@auc.ab.ca.

#### NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

SIGNATURE

Signature: ASW Burns

Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-90 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ⊠ NO SPBC ☐ YES Asset ID (if applicable): Date of Contravention: November 24, 2008 ISO Rule: 6.3.3

**EVENT DETAILS** 

month period.

This is the 90 contravention by this asset for this rule within a rolling 12

On November 24, 2008 an offer restatement was submitted for SPBC asset at 20:30 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 22. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### **MATERIAL FACTS**

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

N/A

Date of Referral/Self Report:

- 1. AESO restatement data for SPBC asset for November 24, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 318. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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	SIGNATURE			
Signature:	Asher Burn	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-89 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: SPBC Self Report YES ⊠ NO Asset ID (if applicable): Date of Contravention: November 22, 2008 ISO Rule: 6.3.3 This is the 89 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 22, 2008 an offer restatement was submitted for SPBC asset at 23:22 which increased the available capability (AC) for the asset within the T-2 window for November 23, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### **MATERIAL FACTS**

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

- AESO restatement data for SPBC asset for November 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### **DELIVERY OF PAYMENT**

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CYCANATORE

	SIGNATURE			
Signature:	Adet Rus	Signature Date:	July 16, 2010	-
Name:	Rob Spragins	Title:	Manager Investigations	

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-88 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES Asset ID (if applicable): SP8C Self Report ISO Rule: 6.3.3 Date of Contravention: November 21, 2008 This is the 88 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. EVENT DETAILS

On November 21, 2008 an offer restatement was submitted for SPBC asset at 21:58 which increased the available capability (AC) for the asset within the T-2 window for November 21, 2008 for HE 23-24. This restatement had the effect of increasing the AC value from 30 to 36 MW for HE 23 and increasing the AC value from 0 to 6 MW for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the

e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

## MATERIAL FACTS

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

- AESO restatement data for SPBC asset for November 21, 2008.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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		SIGNATURE		
Signature:	Miles Bury	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

	No lice and	SIME VIII LED SELEME		
Date of Issue: July 16, 2010		Payment [	Due Date: August 16, 2010	
MSA File Number:	2009-025-87	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPaint Energy Solutions	Amount:	\$ 2,000	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	November 16, 2008	
Date of Referral/Self Report:	N/A	This is the 87 contravention by the month period.	nis asset for this rule within a rolling 12	
	ε	VENT DETAILS		
On November 16, 2008 an offer restatement was submitted for SPBC asset at 23:17 which increased the available capability (AC) for the asset within the T-2 window for November 17, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 5 to 7 MW for HE 1 and increasing the AC value from 9 to 11 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.				
		FINDINGS		
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a conf	travention of ISO rule 6.3.3.	
	M	ATERIAL FACTS		
<ol> <li>AESO information request, response, and referral as applicable.</li> <li>MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.</li> <li>NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.</li> <li>MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.</li> <li>NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.</li> </ol> DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the				
payment should be addressed Delivery of payment should als	to the Director of Finance, AUC so be confirmed by email to con ab.ca, Sabi Ghavami (Director,	The payment should reference to mpliance alibertams at a, with copy	8. Questions in respect of delivery of this notice and related MSA File #.  to the following AUC personnel: Cora and Darin Lowther (Director, Market	
		NOTICE		
The Market Surveillance Admir issue a Notice of Specified Pen out in AUC Rule 019.	nistrator (MSA) is granted the pleasty where the MSA is satisfied	ower and authority under s. 52 of t that a person has contravened an	the Alberta Utilities Commission Act to ISO rule. Specified penalties are set	
		ute regarding the issuance of a Not sult in a hearing or other proceeding	tice of Specified Penalty or failure to ng before the AUC.	
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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.				
SIGNATURE				
Signature: 1	Hert Brug	Signature Date: July	y 16, 2010	
Name:	Rob Spragins	Title: Ma	nager Investigations	

	MILLEON	SPECIFIED PENALTY	
Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-86	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ <b>-</b> ,000
Asset ID (if applicable):	SP8C	Seif Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	November 14, 2008
Date of Referral/Self Report:	N/A	This is the 86 contravention by the month period.	s asset for this rule within a rolling 12
	 E	VENT DETAILS	·
On November 14, 2008 an offer restatement was submitted for SPBC asset at 21:16 which increased the available capability (AC) for the asset within the T-2 window for November 14, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.			
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3,
	 M/	ATERIAL FACTS	
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for November 14, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.			
	DELIN	ERY OF PAYMENT	
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		NOTICE	
			he <i>Alberta Utilities Commission Act</i> to ISO rule. Specified penalties are set
		ute regarding the issuance of a Not esult in a hearing or other proceeding	ice of Specified Penalty or failure to ig before the AUC.
	In accordance with s. $5(1)$ of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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@afbertamsa.ca.			

Signature: Ask Lynn Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-85	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	November 13, 2008
Date of Referral/Self Report:	N/A	This is the 85 contravention by this month period.	s asset for this rule within a rolling 12
EVENT DETAILS			

On November 13, 2008 an offer restatement was submitted for SPBC asset at 07:21 which increased the available capability (AC) for the asset within the T-2 window for November 13, 2008 for HE 10. This restatement had the effect of increasing the AC value from 29 to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for November 13, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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Signature:

Notes & gray

Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Date of Issue: July 16, 2010		Payme	ent Due Date: August 16, 2010
MSA File Number:	2009-025-84	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 -/
Asset IO (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	November 9, 2008
— - Date of Referral/Self Report:	N/A	This is the 84 contravention to month period.	by this asset for this rule within a rolling 12
	6	EVENT DETAILS	

On November 9, 2008 an offer restatement was submitted for SPBC asset at 23:50 which increased the available capability (AC) for the asset within the T-2 window for November 10, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 pnor to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for November 9, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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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.

#### SIGNATURE

Signature:

Robert & war

Signature Date:

July 16, 2010

Name:

Roh Spragini

Title

		The stability of proceedings to small be the confirmation of the little of	
Date of Issue: July 16, 2010		Payment (	Due Date: August 16, 2010
MSA File Number:	2009-025-83	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rute:	6.3.3	Date of Contravention:	November 8 , 2008
Date of Referral/Self Report:	N/A	This is the 83 contravention by the month period.	nis asset for this rule within a rolling 12
	E	VENT DETAILS	
the asset within the T-2 windo to 35 MW. ISO rule 6.3.3 req through interchange e-tag qua two hours before the start of ( exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system contri	ow for November 9, 2008 for Hi oures that the sum of the impor- entities (MW) for a single impor- the settlement interval if the im- nergy must submit an energy manager are effect, if the some of the impor- insatcion e-tag quantities (MW), coller under rule 6.3.7, the sum	E 1-2. This restatement had the eff ter's (exporter's) e-tag quantities ( it source (sink) asset may only be la aporter (exporter) has an acceptable estatement in accordance with rule corter's (exporter's) e-tag quantities of for such settlement interval is less	importer's (exporter's) wheel through
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a con	travention of ISO rule 6.3.3,
	M	ATERIAL FACTS	
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> <li>NorthPoint Energy S</li> <li>2009.</li> </ol> Payment by cheque or certifier Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	mation Request to NorthPoint Electrons August 13, 2009 and A DELTA d funds is to be made out to the NJC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUG to be confirmed by email to corab.ca, Sabi Ghavami (Director,	is applicable. utions dated June 23, 2009. e to MSA information request dated Energy Solutions dated July 31, 200 August 26, 2009 response to MSA i  VERY OF PAYMENT  e "General Revenue Fund c/o Ministreet S.W., Calgary, Alberta, T2P 31  The payment should reference inpliance@albertamsa.ca, with copy	op.  Information request dated July 31,  Ster of Finance", and delivered to the 18. Questions in respect of delivery of
Rules) darin.lowther chauc.ab.c	a.	NOTICE	
issue a Notice of Specified Pen- out in AUC Rule 019.  In accordance with the relevan- pay the specified penalty in ac- In accordance with s. 5(1) of A	alty where the MSA is satisfied at enactments and rules, a disposordance with this notice will react the containing the satisfied and the satisfied at the sati	that a person has contravened an ute regarding the issuance of a No sult in a hearing or other proceeds will be made public in	the Alberta Utilities Commission Act to ISO rule. Specified penalties are set tice of Specified Penalty or failure to ng before the AUC.  To earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penalty, or if you have any mak compliance@albertamsa.ca.	other questions or comments
	-	SIGNATURE	
Signature: An	lest 4 way	Signature Date: Jul	y 16. 2010
!vame:	Rob Spragins	Title: Ma	mager Investigations

Rob Spragins

	NOTICE OF	SPECIFIED PENALTY	
Date of Issue: July 16, 2010		Payment (	Due Date: August 16, 2010
MSA File Number:	2009-025-82	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☑ NO
ISO Rule:	6.3.3	Date of Contravention:	November 8 , 2008
Date of Referral/Self Report:	N/A	This is the 82 contravention by the month period.	is asset for this rule within a rolling 12
	٤	VENT DETAILS	
the asset within the T-2 windo 30 MW. ISO rule 6.3.3 required through interchange e-tag que two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system conti-	ow for November 8, 2008 for Hi res that the sum of the importe antities (MW) for a single impor- the settlement interval if the im- nergy must submit an energy made effect, if the some of the impor- ansatoion e-tag quantities (MW) roller under rule 6.3.7, the sum	E 8. This restatement had the effect r's (exporter's) e-tag quantities (Mit t source (sink) asset may only be I porter (exporter) has an acceptable estatement in accordance with rule sorter's (exporter's) e-tag quantities of for such settlement interval is less	than the AC. Unless otherwise mporter's (exporter's) wheel through
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a con	travention of ISO rule 6.3.3.
	Ma	ATERIAL FACTS	
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> </ol>	mation Request to NorthPoint E	s applicable.	19.
	DELIN	ERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L The payment should reference in ppliance@albertamsa.ca, with copy	ster of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora , and Darin Lowther (Director, Market
		NOTICE	·
			the Alberta Utilities Commission Act to ISO rule. Specified penalties are set
		ute regarding the issuance of a Nolesult in a hearing or other proceeding	tice of Specified Penalty or failure to ng before the AUC.
			no earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penaïty, or if you have any i m at compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	
Signature: M	extension	Signature Date: Jul	y 16, 2010
Name:	Rob Spragins	Title: Ma	nager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-81 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: SPBC Asset ID (if applicable): Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: November 4, 2008 This is the 81 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 4, 2008 an offer restatement was submitted for SPBC asset at 01:33 which increased the available capability (AC) for the asset within the T-2 window for November 4, 2008 for HE 4. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise

#### **FINDINGS**

requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

interval.

- 1. AESO restatement data for SPBC asset for November 4, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Neles & way	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-80 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report Asset ID (if applicable): SPBC YES ⊠ NO ISO Rule: Date of Contravention: November 2, 2008 6.3.3 This is the 80 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A **EVENT DETAILS** On November 2, 2008 an offer restatement was submitted for SPBC asset at 05:33 which increased the available capability (AC) for the asset within the T-2 window for November 2, 2008 for HE 7-8. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's)

FINDINGS

wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

interval.

- 1. AESO restatement data for SPBC asset for November 2, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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 30 days and no later than 4S 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@albeitamsa.ca.

Signature

Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-79 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: SPBC YES Asset ID (if applicable): Self Report ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 31, 2008 This is the 79 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS**

On October 31, 2008 an offer restatement was submitted for SPBC asset at 08:53 which increased the available capability (AC) for the asset within the T-2 window for October 31, 2008 for HE 11. This restatement had the effect of increasing the AC value from 25 to 30 ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantibes (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 31, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fundic/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin lowther Tauc.ab.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 30 days 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.

SIGNATURE

Signature:

Name:

Signature Date:

эшу 16, 2010

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-78 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SP8C Self Report YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 31, 2008 This is the 78 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS**

On October 31, 2008 an offer restatement was submitted for SPBC asset at 07:45 which increased the available capability (AC) for the asset within the T-2 window for October 31, 2008 for HE 9. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

## MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 31, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, TZP 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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 30 days 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.

		SIGNATURE		
FEMALES	1 1.16			1
Signature:	1 Coses Grand	Signature Date:	July 16, 2010	
Name:	Rob Sprágins	Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payment D	Due Date: August 16, 2010
MSA File Number:	2009-025-77	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SP8C	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	October 30, 2008
Date of Referral/Self Report:	N/A	This is the 77 contravention by the month period.	is asset for this rule within a rolling 12
	E	VENT DETAILS	
asset within the T-2 window (MW. ISO rule 6.3.3 require through interchange e-tag quetwo hours before the start of (exporter) who offers (bids) on which the the offer is to tall wheel-through interchange transported by the system continuous assets.	for October 30, 2008 for HE 10. es that the sum of the importer lantities (MW) for a single imported the settlement interval if the im- energy must submit an energy in ke effect, if the some of the impansation e-tag quantities (MW) moller under rule 6.3.7, the sum	This restatement had the effect of 's (exporter's) e-tag quantities (MW it source (sink) asset may only be la iporter (exporter) has an acceptable estatement in accordance with rule corter's (exporter's) e-tag quantities ) for such settlement interval is less	than the AC. Unless otherwise mporter's (exporter's) wheel through
		FINDINGS	
Based upon the information of		satisfied that the event was a cont	
	M	ATERIAL FACTS	
<ol> <li>AESO information in</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Info</li> </ol>	rmation Request to NorthPoint 8	s applicable.	9.
	DELL	VERY OF PAYMENT	
Alberta Utilities Commission (Appayment should be addressed Delivery of payment should al	AUC) at: 4th Floor, 425 - 1st St I to the Director of Finance, AUC so be confirmed by email to cor .ab.ca, Sabi Ghavami (Director,	treet S.W., Calgary, Alberta, T2P 3L The payment should reference Inpliance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
			the <i>Alberta Utilities Commission Act</i> to 150 rule. Specified penalties are set
		ute regarding the issuance of a Not esult in a hearing or other proceeding	nce of Specified Penalty or failure to ng before the AUC.
			o earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penalty, or if you have any om at compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	
Signature: Asi	let A woon	Signature Date: July	y 16, 2010

Title:

Manager Investigations

Rob Spragins

Vame:

	STORY OF STREET		
Date of Issue: July 16, 2010		Payment I	Due Date: August 16, 2010
MSA File Number:	2009-025-76	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC .	Self Report	☐ YES ☑ NO
ISO Rule:	6.3.3	Date of Contravention:	October 30, 2008
Date of Referral/Self Report:	N/A	This is the 76 contravention by the month period.	nis asset for this rule within a rolling 12
9-2 m = 5 = :	E	EVENT DETAILS	
MW. ISO rule 6.3.3 requin through interchange e-tag que two hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra- requested by the system cont	es that the sum of the importer antities (MW) for a single impor- the settlement interval if the im- energy must submit an energy ra- ke effect, if the some of the impansation e-tag quantities (MW, roller under rule 6.3.7, the sum-	's (exporter's) e-tag quantities (MV rt source (sink) asset may only be l aporter (exporter) has an acceptable estatement in accordance with rule porter's (exporter's) e-tag quantities ) for such settlement interval is less	s than the AC. Unless otherwise importer's (exporter's) wheel through
			5 7 300
Based upon the information o	btained by the MSA, the MSA is	s satisfied that the event was a con	travention of ISO rule 6.3.3.
	M	ATERIAL FACTS	
<ol> <li>AESO restatement of AESO information restaurant</li> <li>MSA Information Restaurant</li> <li>NorthPoint Energy Staurant</li> <li>MSA follow-up Information</li> </ol>	mation Request to NorthPoint I	30, 2008. as applicable.	09.
	DELI	VERY OF PAYMENT	
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.			
		NOTICE	
			the Alberta Utilities Commission Act to ISO rule. Specified penalties are set
		oute regarding the issuance of a No esult in a hearing or other proceed	tice of Specified Penalty or failure to ng before the AUC.
			of the AUC respecting the specified
If your organization disputes t	he issuance of this Notice of Sp	ecified Penalty, or if you have any	other questions or comments

Signature: Signature Date: July 16, 2010

Name: Rob Sprägins Title: Manager Investigations

regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

#### NOTICE OF SPECIFIED PENALT Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-75 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report SPBC Asset ID (if applicable): ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 29, 2008 This is the 75 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

#### EVENT DETAILS

On October 29, 2008 an offer restatement was submitted for SPBC asset at 11:26 which increased the available capability (AC) for the asset within the T-2 window for October 29, 2008 for HE 13. This restatement had the effect of increasing the AC value from 35 to 38 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for October 29, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson confi.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

## NOTICE

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In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Nobice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding define the AUC.

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

SIGNATURE

Signature: Signature Date: July 16, 2010

Name: Rob Spragins Tole: Mainager Investigations

NOTICE OF SPECIFIED PENALTY			
Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010			Due Date: August 16, 2010
MSA File Number:	2009-025-74	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	October 23, 2008
Date of Referral/Self Report:	N/A	This is the 74 contravention by the month period.	is asset for this rule within a rolling 12
	E	EVENT DETAILS	
On October 23, 2008 an offer restatement was submitted for SPBC asset at 02:37 which increased the available capability (AC) for the asset within the T-2 window for October 23, 2008 for HE 4-5. This restatement had the effect of increasing the AC value from 0 to 15 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.			
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.

# MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 23, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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 man hearing or other proceeding before the AUC.

In accordance with s. S(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

### SIGNATURE

Signature:

Jane Sind

Signature Date:

July 16, 2010

(vame:

Rob Spragins

Title

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-73 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions YES ⊠ NO SPBC Self Report Asset ID (if applicable): Date of Contravention: October 23, 2008 ISO Rule: 6.3.3 This is the 73 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. EVENT DETAILS On October 23, 2008 an offer restatement was submitted for SPBC asset at 01:37 which increased the available capability (AC) for the asset within the T-2 window for October 23, 2008 for HE 3. This restatement had the effect of increasing the AC value from 0 to 25 ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPBC asset for October 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3 NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca. NOTICE

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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. S(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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 Nobice 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.

SIGNATURE	
 Signature Date:	July 16, 2010
	4

Name: Rob Spragins

Signature:

Line

## Wass (at the common property of the

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-72	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	October 22, 2008
Date of Referral/Self Report:	N/A	This is the 72 contravention by this asset for this rule within a rolling 12 month period.	
	,	WINE DETAILS	

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPBC asset at 18:55 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 21. This restatement had the effect of increasing the AC value from 30 to 35 MW. At 19:48, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 35 MW to 32 MW for HE 21. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for October 22, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31.

## DELIVERY OF PAYMENT

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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

SIGNATURE

Signature: Signature Date: July 16, 2010 Name: Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-71 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES SPBC Self Report ⊠ NO Asset ID (if applicable): October 22, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 71 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: month period. EVENT DETAILS On October 22, 2008 an offer restatement was submitted for SPBC asset at 16:10 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 19. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-

On October 22, 2008 an offer restatement was submitted for SPBC asset at 16:10 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 19. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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#### NOTICE

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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 30 days 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.

SIGNATURE				
Signature:	Men Burg	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number: 2009-025-70		Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	7 -,	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 22, 2008	
Date of Referral/Self Report: N/A		This is the 70 contravention by this asset for this rule within a rolling 12 month period.		

#### **EVENT DETAILS**

On October 22, 2008 an offer restatement was submitted for SPBC asset at 14:05 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 25 to 34 MW. At 16:01, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 34 MW to 32 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for October 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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#### NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

		SIGNATURE	
Signature:	What Burn	Signature Date:	3uly 16, 2010
Name:	Roti Spragins	Title:	Manager Investigations

Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-69 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions SPBC Self Report YES Asset ID (if applicable): October 22, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 69 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

#### **EVENT DETAILS**

On October 22, 2008 an offer restatement was submitted for SPBC asset at 10:56 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 13. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 22, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- S. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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	SIGNATURE		
Signature:	John Agriage	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-68 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions SPBC Self Report YES NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: October 21, 2008 This is the 68 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

EVENT DETAILS

On October 21, 2008 an offer restatement was submitted for SPBC asset at 08:32 which increased the available capability (AC) for the asset within the T-2 window for October 21, 2008 for HE 11. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 pnor to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SP8C asset for October 21, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

### NOTICE

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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 30 days 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.

	r, piease contact the man compile	ince team at compilar ceta-order	31150.03.
		SIGNATURE	
Signature:	West Sua	Signature Date:	July 16, 2010
Name:	Rob Spradins	Title:	Manager Investigation

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number: 2009-025-67		Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 19, 2008	
Date of Referral/Self Report: N/A		This is the 67 contravention by this asset for this rule within a rolling 12 month period.		

#### **EVENT DETAILS**

On October 19, 2008 an offer restatement was submitted for SPBC asset at 11:20 which increased the available capability (AC) for the asset within the T-2 window for October 19, 2008 for HE 14. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for October 19, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

	SIGNATURE		
Signature:	When Burn	Signature Date:	July 16, 2010
Name:	Rob Spragins	) Title:	Manager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-66 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report Asset ID (if applicable): SPBC YES Ø NO ISO Rule: 6.3.3 Date of Contravention: October 18, 2008 This is the 66 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. 

#### EVENT DETAILS

On October 18, 2008 an offer restatement was submitted for SPBC asset at 09:45 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 12. This restatement had the effect of increasing the AC value from 25 to 50 MW. At 10:56, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 50 MW to 30 MW for HE 12. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3,5,3,2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 18, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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If your organization disputes the issuance of this Nobice of Specified Penalty, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at compliance@albertamss.ca.

SIGNATURE

Signature:

Signature Date:

July 16, 2010

Name:

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-65 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report Asset ID (if applicable): SPBC ☐ YES ISO Rule: 6.3.3 Date of Contravention: October 16, 2008 This is the 65 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 16, 2008 an offer restatement was submitted for SPBC asset at 23:22 which increased the available capability (AC) for the asset within the T-2 window for October 17, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 6 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

# FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

interval.

- AESO restatement data for SPBC asset for October 16, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

	SIGNATURE	
'Signature:	What we Signature Date:	July 16, 2010
Name:	Rob Spragns Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number: 2009-025-64		Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ <b>-</b> /***	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 16, 2008	
Date of Referral/Self Report: N/A		This is the 64 contravention by this asset for this rule within a rolling 12 month penod.		
		VENT DETAILS		

On October 16, 2008 an offer restatement was submitted for SP8C asset at 21:14 which increased the available capability (AC) for the asset within the T-2 window for October 16, 2008 for HE 22-24. This restatement had the effect of increasing the AC value from 25 to 31 MW for HE 22-23 and increasing the AC value from 0 to 6 for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

. .. - -... . ..

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

- AESO restatement data for SPBC asset for October 16, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

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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.

SIGNATURE

Signature:

al Bus

Signature Date:

July 16, 2010

Name:

Rob Sprading

Title

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-63 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES SPBC Asset 1D (if applicable): ISO Rule: 6.3.3 Date of Contravention: October 14, 2008 This is the 63 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. EVENT DETAILS On October 14, 2008 an offer restatement was submitted for SPBC asset at 05:52 which increased the available capability (AC) for the asset within the T-2 window for October 14, 2008 for HE 08. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's)

#### **FINDINGS**

wheel-through interchange transatcion e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

interval.

- 1. AESO restatement data for SPBC asset for October 14, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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		SIGNATURE		
Signature:	A. L. AA.	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

	NOTICE OF	SPECIFIED PENALTY		
Date of Issue: July 16, 2010		Payment	Due Date: August 16, 2010	
MSA File Number:	2009-025-62	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 9, 2008	
Date of Referral/Self Report:	N/A	This is the 62 contravention by the month period.	his asset for this rule within a rolling 12	
	E	VENT DETAILS		
asset within the T-2 window I MW. ISO rule 6.3.3 requires through interchange e-tag que two hours before the start of (exporter) who offers (bids) of in which the the offer is to tal wheel-through interchange to requested by the system contribution.	for October 9, 2008 for HE 08. s that the sum of the importer's antities (MW) for a single import the settlement interval if the im- energy must submit an energy of ke effect, if the some of the impansation e-tag quantities (MW troller under rule 6.3.7, the sum	This restatement had the effect of (exporter's) e-tag quantities (MW it source (sink) asset may only be aporter (exporter) has an acceptab destatement in accordance with ruli porter's (exporter's) e-tag quantitie of for such settlement interval is les	importer's (exporter's) wheel through	
intervai.		FINDINGS		
Based upon the information of	obtained by the MSA, the MSA is	s satisfied that the event was a cor	atravention of ISO rule 6.3.3.	
l imilia i mandi.	M	ATERIAL FACTS		
<ol> <li>NorthPoint Energy :</li> <li>MSA follow-up Info</li> </ol>	rmation Request to NorthPoint I	e to MSA information request date Energy Solutions dated July 31, 20		
	DELI	VERY OF PAYMENT		
Alberta Utilities Commission ( payment should be addressed Delivery of payment should al	AUC) at: 4th Floor, 425 - 1st Si 1 to the Director of Finance, AUI Iso be confirmed by email to co trabica, Sabi Ghavami (Director,	treet S.W., Calgary, Alberta, T2P 3 C. The payment should reference mphance@albertamsa.ca, with cop	ster of Finance", and delivered to the L8. Questions in respect of delivery of this notice and related MSA File #. by to the following AUC personnel: Cora a, and Darin Lowther (Director, Market	
		NOTICE		
issue a Notice of Specified Per out in AUC Rule 019.  In accordance with the releval pay the specified penalty in accordance with s. 5(1) of	nalty where the MSA is satisfied int enactments and rules, a dispondence with this notice will named AUC Rule 019 this Notice of Spa	I that a person has contravened an oute regarding the issuance of a No esult in a hearing or other proceed ecified Penalty will be made public	the Alberta Utilities Commission Act to ISO rule. Specified penalties are set of the Specified Penalty or failure to thing before the AUC.  The August 10 days and no later than 45 to of the AUC respecting the specified.	
penalty.  If your organization disputes t	the issuance of this Notice of Sp	pecified Penalty, or if you have any	other questions or comments	
regarding this matter, please	contact the MSA compliance lea	am at compliance@albertamsa.ca.	TOTAL PORT OF THE PARTY OF THE	
1 a 1 a 1 a 1 a 1 a 1 a 1 a 1 a 1 a 1 a		SIGNATURE		
Signature:: Alle	nt Burn	Signature Date: Ju	y 16, 2010	
Name:	Rob Spragins	Tople: No	anager Investigations	

	NOTICE OF	SPECIFIED PENALTY		
Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-61	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 8, 2008	
Date of Referral/Self Report:	N/A	This is the 61 contravention by this asset for this rule within a rolling 1 month period.		
	E	EVENT DETAILS		
asset within the T-2 window f MW. At 18:59, another resta to 50 MW for HE 20. ISO rul (exporter's) wheel-through int	or October 8, 2008 for HE 20. Itement was submitted within the 6.3.3 requires that the sum of terchange e-tag quantities (MW	This restatement had the effect of he T-2 window that had the effect if the importer's (exporter's) e-tag /) for a single import source (sink)	sed the available capability (AC) for the increasing the AC value from 7 to 57 to f decreasing the AC value from 57 MW quantities (MW) and importer's asset may only be less than the AC of r) has an acceptable operational reason.	

# **FINDINGS**

Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

settlement interval.

- AESO restatement data for SPBC asset for October 8, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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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 Galbertamsa.ca.

SIGNATURE

Signature:

Signature Date:

July 16, 2010

Mame:

#### NOTICE OF SPECIFIED PENALT Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-60 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions SPBC Self Report NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: October 8, 2008 This is the 60 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 8, 2008 an offer restatement was submitted for SPBC asset at 11:16 which increased the available capability (AC) for the

On October 8, 2008 an offer restatement was submitted for SPBC asset at 11:16 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 13. This restatement had the effect of increasing the AC value from 0 to 10 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the Importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

# MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 8, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darim.lowther@auc.ab.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 30 days 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.

	SIGNATURE			
TARREST	-11:1			
Signature:	Mike Dus	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investig	jations

Date of Issue: July 16, 2010		Payment (	Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-59	Specified Penalty	\$ 2,000		
Market Participant Name:	NorthPoint Energy Solutions	Amount:	7 =/555		
Asset ID (if applicable):	SPBC	Self Report	YES NO		
ISO Rule:	6.3.3	Date of Contravention:	October 8, 2008		
Date of Referral/Self Report:	N/A	This is the 59 contravention by this asset for this rule within a rolling 1. month period.			
	E	VENT DETAILS			

On October 8, 2008 an offer restatement was submitted for SPBC asset at 10:23 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 12. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for October 8, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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#### NOTICE

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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 30 days 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.

		-	
		SIGNATURE	
	-1-1	The second second second	F - H - K
Signature:	pull your	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

Date of Issue: July 16, 2010	_	Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-58	Specified Penalty	\$ 2,000	
Market Partiopant Name:	NorthPoint Energy Solutions	Amount:	1	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 6, 2008	
Date of Referral/Self Report:	N/A	This is the 58 contravention by month period.	this asset for this rule within a rolling 12	
		The state of the s		

#### **EVENT DETAILS**

On October 6, 2008 an offer restatement was submitted for SPBC asset at 8:16 which increased the available capability (AC) for the asset within the T-2 window for October 6, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for October 6, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 318. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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 30 days 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.

regarding this matter	, please contact the PISA compli			
		SIGNATURE		
Signature:	Notest Bung	Signature Date:	July 16, 2010	4 1 2
Name:	Rob Spragins	Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-57	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset JD (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	October 4, 2008	
Date of Referral/Self Report:	N/A	This is the 57 contravention by the month period.	his asset for this rule within a rolling 12	

#### **EVENT DETAILS**

On October 4, 2008 an offer restatement was submitted for SPBC asset at 12:22 which increased the available capability (AC) for the asset within the T-2 window for October 4, 2008 for HE 15. This restatement had the effect of increasing the AC value from 35 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for October 4, 2008.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

# DELIVERY OF PAYMENT

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#### NOTICE

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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 30 days 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.

regarding this mate	er, please contact the PISA compli	ance team at compliance ta	oertainsatca.		100
		SIGNATURE			
Signature:	Whent Bun	Signature Date:	luly 16, 2010		
Name:	Rob Spragins	Title:	Manager Investig	gations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-56	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	·
Asset IO (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	September 30, 2008
Date of Referral/Self Report:	N/A	This is the 56 contravention by the month period.	s asset for this rule within a rolling 12
122	E	VENT DETAILS	

On September 30, 2008 an offer restatement was submitted for SPBC asset at 06:21 which increased the available capability (AC) for the asset within the T-2 window for September 30, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

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- 1. AESO restatement data for SPBC asset for September 30, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavain@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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	SIGNATURE		
Signature:	Miles Arm	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

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Date of Issue: July 16, 2010		Payment C	Due Date: August 16, 2010 — —
MSA File Number:	2009-025-55	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount.	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	September 28, 2008
Date of Referral/Self Report:	N/A	This is the 55 contravention by the month period.	is asset for this rule within a rolling 12
		VENT DETAILS	
the asset within the T-2 winds to 25 MW. ISO rule 6.3.3 re wheel-through interchange e- stated two hours before the s importer (exporter) who offer settlement interval in which to importer's (exporter's) wheel- Unless otherwise requested by	ow for September 28, 2008 for equires that the sum of the import tag quantities (MW) for a single tart of the settlement interval if s (bids) energy must submit an the offer is to take effect, if through interchange transatcion y the system controller under n	HE 13. This restatement had the ef- orter's (exporter's) e-tag quantities e import source (sink) asset may or the importer (exporter) has an acc energy restatement in accordance the some of the importer's (exporter in e-tag quantities (MW) for such sealed.	nly be less than the AC of such asset ceptable operational reason. Each with rule 3.5.3.2 prior to the
		FINDINGS	
Based upon the information o	btained by the MSA, the MSA is	satisfied that the event was a con-	travention of ISO rule 6.3.3.
	м.	ATERIAL FACTS	
<ol> <li>NorthPoint Energy S</li> <li>MSA follow-up Infor</li> </ol>	mation Request to NorthPoint I	e to MSA information request dated Energy Solutions dated July 31, 200 August 26, 2009 response to MSA in	9.
	DELI	VERY OF PAYMENT	
Alberta Utilities Commission ( payment should be addressed Delivery of payment should al	AUC) at: 4th Floor, 425 - 1st SI to the Director of Finance, AUC so be confirmed by email to colliable. ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L 2. The payment should reference inpliance@albertamsa.ca, with copy	ster of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. 7 to the following AUC personnel: Cora 8, and Darin Lowther (Director, Market
		NOTICE	
issue a Notice of Specified Per out in AUC Rule 019.  In accordance with the releval pay the specified penalty in accordance with s. 5(1) of	nalty where the MSA is satisfied int enactments and rules, a disp cordance with this notice will grant AUC Rule 019 this Notice of Spa	that a person has contravened an ute regarding the issuance of a Not esult in a hearing or other proceeding ecified Penalty will be made public re-	the Alberta Utilities Commission Act to ISO rule. Specified penalties are set tice of Specified Penalty or failure to ing before the AUC.  The earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penalty, or if you have any mat compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	
Signature: A	het Kun	Signature Date: Jul	y 16, 2010
Name:	Rob Spragins	Title: Ma	nagev Investigations;

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-54	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	September 28, 2008	
Date of Referral/Self Report:	N/A	This is the S4 contravention by the month period.	nis asset for this rule within a rolling 12	

#### **EVENT DETAILS**

On September 28, 2008 an offer restatement was submitted for SPBC asset at 07:43 which increased the available capability (AC) for the asset within the T-2 window for September 28, 2008 for HE 8-10. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for September 28, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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		SIGNATURE		
Signature:	Mohat Hins	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payme	ent Due Date: August 16, 2010
MSA File Number:	2009-025-53	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	4 =/000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	September 26, 2008
Date of Referral/Self Report:	N/A	This is the 53 contravention be month period.	by this asset for this rule within a rolling 12
		VENT DETAILS	

On September 26, 2008 an offer restatement was submitted for SPBC asset at 12:03 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 15. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for September 26, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days and no later than 45 clays 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.

SIGNATURE

Signature: Mobert Duray Signature Date: May 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-52	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES 🖾 NO	
ISO Rule:	6.3.3	Date of Contravention:	September 26, 2008	
Date of Referral/Self Report:	N/A	This is the 52 contravention to month period.	by this asset for this rule within a rolling 12	
		MEATT DETAILS	- Way	

On September 26, 2008 an offer restatement was submitted for SPBC asset at 06:40 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 9 to 15 MW and 32 to 38 respectively. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for September 26, 2008.
- AESO information request, response, and referral as applicable.
- 2. AESO Information request, response, and research states and specific and specif
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.

- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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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 perialty in accordance with this notice will result in a flearing or other proceeding before the AUC.

In accordance with s. 5(1) of AUC Rule (119 this Notice of Specified Penalty will be made public no earlier 30 days 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.

			The state of the s	
		SIGNATURE		
	1/1			
Signature:	Ment Jam	Signature Date:	July 16, 2010	
Narre:	Rob Swagins	Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-51	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES      ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	September 25, 2008
Date of Referral/Self Report:	N/A	This is the 51 contravention by the month period.	s asset for this rule within a rolling 12
_	E	VENT DETAILS	
			-

On September 25, 2008 an offer restatement was submitted for SPBC asset at 22:14 which increased the available capability (AC) for the asset within the T-2 window for September 25, 2008 for HE 24. This restatement had the effect of increasing the AC value from 25 to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for September 25, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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#### NOTICE

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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 30 days and no later than 45 days after resultance. 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@aibertamsa.ca.

Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010 Payment Due Date: August 1		Due Date: August 16, 2010		
MSA File Number:	2009-025-50	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	September 22, 2008	
Date of Referral/Self Report:	N/A	This is the 50 contravention by this asset for this rule within a rolling 12 month period.		
	Ε	VENT DETAILS		
25 to 30 MW for HE 10 and in T-2 window that had the effect the importer's (exporter's) estingle import source (sink) as interval if the importer (exporsubmit an energy restatement the some of the importer's (equantities (MW) for such settlithe sum of the estag quantitie be greater than the AC offerred.	creasing the AC value from 25 ct of increasing the AC value from 25 ct of increasing the AC value from 35 quantities (MW) and imported set may only be less than the AC ter) has an acceptable operation to accordance with rule 3.5.3. (Aporter's) e-tag quantities (MW) ement interval is less than the AC (MW) and importer's (exported two hours before the start of	to 31 for HE 11. At 09:12, another om 31 MW to 41 MW for HE 11. IS er's (exporter's) wheel-through inte C of such asset stated two hours b nal reason. Each importer (export 2 prior to the settlement interval in ) and importer's (exporter's) wheel AC. Unless otherwise requested by er's) wheel through interchange trains a settlement interval.  FINDINGS	ter) who offers (bids) energy must which the the offer is to take effect, if through interchange transaction e-tag the system controller under rule 6.3.7, insaction e-tag quantities (MW) cannot	
Based upon the information o	btained by the MSA, the MSA is	satisfied that the event was a con	travention of ISO rule 6.3.3.	
	M	ATERIAL FACTS		
AESO restatement of AESO information of AESO information of AESO information Research     NorthPoint Energy St. MSA follow-up Information AESO in	mation Request to NorthPoint 8	per 22, 2008. is applicable.	09.	
	DELLY	VERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should all	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L C. The payment should reference npliance@albertamsa.ca, with copy	ster of Finance", and delivered to the .8. Questions in respect of delivery of this notice and related MSA File #. y to the following AUC personnel: Cora , and Darin Lowther (Director, Market	
		NOTICE		
		ower and authority under s. 52 of	the Alberta Utilities Commission Act to ISO rule. Specified penalties are set	
		ute regarding the issuance of a No esult in a hearing or other proceedi	tice of Specified Penalty or failure to ng before the AUC.	
			no earlier 30 days and no later than 45 of the AUC respecting the specified	
		ecified Penalty, or if you have any m at compliance albertamsa.ca.	other questions or comments	
		SIGNATURE		

Signature: July 16, 2010

Name: Rob Spragins Tide: Manager Investigations

Date of Issue: July 16, 2010	- A SHIP SHE INCLUDES	Payment D	Due Date: August 16, 2010	
MSA File Number:	2009-025-49	Specified Penalty		
 Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☑ NO	
ISO Rule:	6.3.3	Date of Contravention:	September 20, 2008	
Date of Referral/Self Report:	N/A	This is the 49 contravention by the month period.	is asset for this rule within a rolling 12	
	E	VENT DETAILS		
the asset within the T-2 winds 25 to 32 MW for HE 16 and in importer's (exporter's) e-tag of import source (sink) asset ma importer (exporter) has an ac- restatement in accordance wi importer's (exporter's) e-tag of for such settlement interval is e-tag quantities (MW) and im-	ow for September 20, 2008 for increasing the AC value from 25 quantities (MW) and importer's by only be less than the AC of succeptable operational reason. Eth rule 3.5.3.2 prior to the settle quantities (MW) and importer's less than the AC. Unless other	HE 16-18. This restatement had the to 31 MW for HE 17-18. ISO rule 6 (exporter's) wheel-through interchatch asset stated two hours before teach importer (exporter) who offers ement interval in which the the offe (exporter's) wheel-through interchatwise requested by the system contugh interchange transaction e-tag of the contact of the	eased the available capability (AC) for e effect of increasing the AC value from 6.3.3 requires that the sum of the inge e-tag quantities (MW) for a single the start of the settlement interval if the (bids) energy must submit an energy er is to take effect, if the some of the inge transatcion e-tag quantities (MW) roller under rule 6.3.7, the sum of the quantities (MW) cannot be greater than	
		FINDINGS	-	
Based upon the information o	btained by the MSA, the MSA is	satisfied that the event was a conf	ravention of ISO rule 6.3.3.	
	by the MSA include the follow	ATERIAL FACTS		
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information re</li> </ol>	mation Request to NorthPoint E	s applicable.	9.	
	DELIN	/ERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should at	AUC) at: 4th Floor, 425 - 1st St I to the Director of Finance, AUC so be confirmed by email to cor .ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L C. The payment should reference in hpliance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Dann Lowther (Director, Market	
		NOTICE		
			he Alberta Utilities Commission Act to ISO rule. Specified penalties are set	
		ute regarding the issuance of a Not esult in a hearing or other proceeding	ice of Specified Penalty or failure to ng before the AUC.	
			o earlier 30 days and no later than 45 of the AUC respecting the specified	
		ecified Penalty, or if you have any on at compliance@albertamsa.ca.	other questions or comments	
SIGNATURE				
Signature: Aus	last max	Signature Date: July	16, 2010	
Name:	Rob Spragins	Title: Ma	nager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-48	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	September 20, 2008
Date of Referral/Self Report:	N/A	This is the 48 contravention by this asset for this rule within a rolling 1, month period.	
		VENUE DETAILS	

On September 20, 2008 an offer restatement was submitted for SPBC asset at 11:26 which increased the available capability (AC) for the asset within the T-2 window for September 20, 2008 for HE 13. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for September 20, 2008.
- AESO information request, response, and referral as applicable.
   MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

#### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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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.

SIGNATURE

Signature Date: July 16, 2010 Signature. Manager Investigations lame:

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010					
MSA File Number:	2009-025-47	Specified Penalty			
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO		
ISO Rule:	6.3.3	Date of Contravention:	September 17, 2008		
Date of Referral/Self Report:	N/A	This is the 47 contravention by month period.	this asset for this rule within a rolling 12		
	E	EVENT DETAILS	•		
On September 17, 2008 an offer restatement was submitted for SPBC asset at 22:00 which increased the available capability (AC) for the asset within the T-2 window for September 18, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 16 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement					
interval.		FINDINGS			
Based upon the information of	obtained by the MSA, the MSA is	s satisfied that the event was a co	ontravention of ISO rule 6.3.3.		
- 1		ATERIAL FACTS			
<ol> <li>AESO information request, response, and referral as applicable.</li> <li>MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.</li> <li>NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.</li> <li>MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.</li> <li>NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.</li> <li>DELIVERY OF PAYMENT</li> </ol> Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market)					
Rules) darin.lowther@auc.ab.					
		NOTICE			
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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 30 days 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.					
SIGNATURE					
Signature: My	let Bur	Signature Date: J	uly 16, 2010		
Name:	Rob Spragins	Title:	Manager Investigations		

	NOTICE OF	SPECIFIED PENALTY		
Date of Issue: July 16, 2010		Payment C	Due Date: August 16, 2010	
MSA File Number:	2009-025-46	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPaint Energy Salutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	September 15, 2008	
Date of Referral/Self Report:	N/A	This is the 46 contravention by the month period.	is asset for this rule within a rolling 12	
	E	VENT DETAILS		
wheel-through interchange e- stated two hours before the s importer (exporter) who offen settlement interval in which the importer's (exporter's) wheel- Unless otherwise requested by	tag quantities (MW) for a single tart of the settlement interval if s (bids) energy must submit an he the offer is to take effect, if t through interchange transatcion y the system controller under ru	the importer (exporter) has an acc energy restatement in accordance the some of the importer's (exporter n e-tag quantities (MW) for such sealle 6.3.7, the sum of the e-tag quantities (ME)	ely be less than the AC of such asset teptable operational reason. Each with rule 3.5.3.2 prior to the	
		FINDINGS		
Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.  MATERIAL FACTS  The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for September 15, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,				
2009.		 /EDV OF DAVMENT		
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.				
		NOTICE		
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		ute regarding the issuance of a Not isult in a hearing or other proceeding	ice of Specified Penalty or failure to ig before the AUC.	
In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.				

SIGNATURE

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.

Signature:

Mame:

Signature Date:

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment f	Due Date: August 16, 2010			
Date of 1350e. July 10, 2010		— Fayment c	—			
MSA File Number:	2009-025-45	Specified Penalty Amount:	\$ 2,000			
Market Participant Name:	NorthPoint Energy Solutions	/ direction				
Asset ID (if applicable):	SPBC	Self Report	YES NO			
ISO Rule:	6.3.3	Date of Contravention:	September 14, 2008			
Date of Referral/Self Report:	N/A	This is the 45 contravention by the month period.	is asset for this rule within a rolling 12			
		VENT DETAILS				
On September 14, 2008 an offer restatement was submitted for SPBC asset at 21:57 which increased the available capability (AC) for the asset within the T-2 window for September 14, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 9 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement						
interval.		FINDINGS	THE RESERVE TO SECURE			
Based upon the information ob	otained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.			
-	· •	ATERIAL FACTS				
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for September 14, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.						
	DELIVERY OF PAYMENT					
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.						
		NOTICE				
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the <i>Alberta Utilities Commission Act</i> 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 30 days 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 calbertains a.ca.						
SIGNATURE						
Signature: Au	lette no		, 16, 2010			
Name:	Rob Spragins	Title: Mai	nager Investigations			

# OF SPECIFIED PENAL

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-44	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	September 14, 2008
Date of Referral/Self Report:	N/A	This is the 44 contravention by month period.	this asset for this rule within a rolling 12
	_		

#### **EVENT DETAILS**

On September 14, 2008 an offer restatement was submitted for SPBC asset at 19:42 which increased the available capability (AC) for the asset within the T-2 window for September 14, 2008 for HE 22. This restatement had the effect of increasing the AC value from 0 to 7 MW. At 21:56, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 7 MW to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for September 14, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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@albertanisa.ca.

SIGNATURE

Signature:

Signature Date:

July 16, 2010

Name:

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-43 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report SPBC ☐ YES ⊠ NO Asset ID (if applicable): ISO Rule: Date of Contravention: September 3, 2008 6.3.3 This is the 43 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 3, 2008 an offer restatement was submitted for SPBC asset at 06:26 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to

On September 3, 2008 an offer restatement was submitted for SPBC asset at 06:26 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for September 3, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darm.fowther@auc.ab.ca.

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In accordance with the relevant enactments and rules, a dispute regarding the ssuance 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 30 days 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.

	SIGNATURE			
	11 1			
Signature:	When you	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
2009-025-42	Specified Penalty	\$ 2,000		
NorthPoint Energy Solutions				
SPBC	Self Report	☐ YES ⊠ NO		
6.3.3	Date of Contravention:	August 29, 2008		
N/A	This is the 42 contravention by this asset for this rule within a rolling 1, month period.			
	NorthPoint Energy Solutions  SPBC  6.3.3	2009-025-42  NorthPoint Energy Solutions  SPBC Self Report Date of Contravention:  N/A  This is the 42 contravention by		

#### EVENT DETAILS

On August 29, 2008 an offer restatement was submitted for SPBC asset at 09:33 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 12. This restatement had the effect of increasing the AC value from 0 to 6 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for August 29, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### DELIVERY OF PAYMENT

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	22 12 VA*	SIGNATURE		
Signature:	Aller Bun	Signature Date:	July 16, 2010	
Name:	Rob Spragins	U Title:	Manager Investig	ations

Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-41	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 25, 2008
Date of Referral/Self Report:	N/A	This is the 41 contravention by this asset for this rule within a rolling 12 month penod.	
	É	VENT DETAILS	

On August 25, 2008 an offer restatement was submitted for SPBC asset at 09:04 which increased the available capability (AC) for the asset within the T-2 window for August 25, 2008 for HE 11-12. This restatement had the effect of increasing the AC value from 7 to 12 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 25, 2008.
- AESO information request, response, and referral as applicable.
   MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. ....

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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 malbertamsa.ca.

#### SIGNATURE

Signature:	West Bury	Signature Date:	July 16, 2010
Vamet	Rob Spragins	Title:	Manager Investigations

#### Office of Specials (Self) Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-40 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report SP8C ☐ YES Asset ID (if applicable): ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 24, 2008 This is the 40 contravention by this asset for this rule within a rolling 12

**EVENT DETAILS** 

month period.

On August 24, 2008 an offer restatement was submitted for SPBC asset at 10:03 which increased the available capability (AC) for the asset within the T-2 window for August 24, 2008 for HE 13. This restatement had the effect of increasing the AC value from 0 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

Date of Referral/Self Report: N/A

- AESO restatement data for SPBC asset for August 24, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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.

SIGNATURE

Signature:

13

Signature Date:

July 16, 2010

Name:

Rob Spragins

Tider.

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-39	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	1 -1
Asset ID (if applicable):	SPBC	Self Report	☐ YES 🖾 NO
ISO Rule:	6.3.3	Date of Contravention:	August 23, 2008
Date of Referral/Self Report:	N/A	This is the 39 contravention by this asset for this rule within a rolling 1 month period.	
		O CONTROLLANCE	

EVENT DETAILS

On August 23, 2008 an offer restatement was submitted for SPBC asset at 09:54 which increased the available capability (AC) for the asset within the T-2 window for August 23, 2008 for HE 12. This restatement had the effect of increasing the AC value from 7 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 23, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6.

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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@albertainsa.ca.

SIGNATURE

Signature:

Signature Date:

July 16, 2010

Names

# Morniacio Elegentorea Gerialna d

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-38	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rufe:	6.3.3	Date of Contravention:	August 22, 2008
Date of Referral/Self Report:	N/A	This is the 38 contravention by this asset for this rule within a rolling 1 month period.	
	É	EVENT DETAILS	
<del></del>			

On August 22, 2008 an offer restatement was submitted for SPBC asset at 22:11 which increased the available capability (AC) for the asset within the T-2 window for August 23, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) dann.lowther@auc.ab.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 30 days and no taker 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.

	,	SIGNATURE	
Signature	When Two	Signature Date:	July 15, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NUMBER OF SPREED PRIMERS

Date of Issue: July 16, 2010	of Issue: July 16, 2010 Payment Due Date: August 16, 2010		Due Date: August 16, 2010
MSA File Number:	2009-025-37	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 22, 2008
Date of Referral/Self Report:	N/A	This is the 37 contravention by this asset for this rule within a rolling 12 month period.	
		EVENT DETAILS	
0= Avenuet 33, 3000 an effect		CORC accept at 17:05 which recrease	od the available capability (AC) for the

On August 22, 2008 an offer restatement was submitted for SPBC asset at 17:05 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 11 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 22, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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If your organization disputes the issuance of this Nobice of Specified Penalty, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at compliance @albertawsa.ca.

SIGNATURE

Signature:: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

CIGAL CONTRACTOR OF THE CONTRA			
Date of Issue: July 16, 2010		Payment Di	ue Date: August 16, 2010
MSA File Number:	2009-025-36	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 22, 2008
Date of Referral/Self Report:	N/A	This is the 36 contravention by this month period.	s asset for this rule within a rolling 12
	E	VENT DETAILS	
asset within the T-2 window for 38 MW. ISO rule 6.3.3 required through interchange e-tag quatwo hours before the start of the exporter) who offers (bids) even which the the offer is to tak wheel-through interchange transported by the system contribution.	or August 22, 2008 for HE 17-1: tres that the sum of the imported antities (MW) for a single import the settlement interval if the import nergy must submit an energy re e effect, if the some of the import insatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	8. This restatement had the effect of this (exporter's) e-tag quantities (MV t source (sink) asset may only be le porter (exporter) has an acceptable estatement in accordance with rule to orter's (exporter's) e-tag quantities for such settlement interval is less	than the AC. Unless otherwise inporter's (exporter's) wheel through
		FINDINGS	
Based upon the information of	otained by the MSA, the MSA is	satisfied that the event was a contr	ravention of ISO rule 6.3.3.
-		TERIAL FACTS	
<ol> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information</li> </ol>	mation Request to NorthPoint E	s applicable.	).
	DELIV	ERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	(UC) at: 4th Floor, 425 - 1st Str to the Director of Finance, AUC to be confirmed by email to come ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L8 . The payment should reference the payment should reference the payment says with copy	er of Finance", and delivered to the B. Questions in respect of delivery of his notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
issue a Notice of Specified Pen out in AUC Rule 019.	alty where the MSA is satisfied		ne Alberta Utilities Commission Act to SO rule. Specified penalties are set
		sult in a hearing or other proceeding	
		cified Penalty will be made public no its website the link to any decision o	earlier 30 days and no later than 45 fithe AUC respecting the specified
		cofied Penalty, or if you have any or n at compliance@albertansa.ca	ther questions or comments
		SIGNATURE	
Signature: Ant	at A	Segnature Date: July	16, 2010

Title.

Manager Investigations

Rob Spragins

Name:

# More (actions) Supported by Desputation S.

	A STATE OF THE STA		
Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-35	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule;	6.3.3	Date of Contravention:	August 22, 2008
Date of Referral/Self Report:	N/A	This is the 35 contravention by thi month period.	s asset for this rule within a rolling 12
	E	VENT DETAILS	
On August 22, 2008 an offer restatement was submitted for SPBC asset at 13:22 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 16. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.			
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a conti	ravention of ISO rule 6.3.3.
_	MA	ATERIAL FACTS	
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for August 22, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.			
	DELIV	ERY OF PAYMENT	
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.aniderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.			
		NOTICE	
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		die regarding the issuance of a Noti sult in a hearing or other proceedin	
In accordance with s. 5(1) of Adays after issuance. The MSA penalty.	NUC Rule 019 this Notice of Sperwill, if applicable, also post on i	cified Penalty will be made public no ts website the link to any election o	6 earlier 30 days and no later than 45 of the AUC respecting the specified

SIGNATURE

Signature:

Name:

Rob Spragins

regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

Signature Date:

July 16, 2010

Title.

If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-34	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 22, 2008
Date of Referral/Self Report:	N/A	This is the 34 contravention by this asset for this rule within a rolling 12 month period.	
EVENT DETAILS			

On August 22, 2008 an offer restatement was submitted for SPBC asset at 12:59 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 13-15. This restatement had the effect of increasing the AC value from 0 to 7 MW for HE 13-14 and increasing the AC value from 0 to 32 MW for HE 15. At 13:22, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 32 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transatcion e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for August 22, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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 correlations distributed albertams a.ca.

SIGNATURE Signature Date: July 16, 2010 Signature: Name: Manager Investigations

Date of Issue: July 16, 2010		Payment D	ue Date: August 16, 2010
MSA File Number:	2009-025-33	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPaint Energy Solutions	Amount:	
Asset 10 (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	August 21, 2008
Date of Referral/Self Report:	N/A	This is the 33 contravention by the month period.	s asset for this rule within a rolling 12
	E	VENT DETAILS	
On August 21, 2008 an offer restatement was submitted for SPBC asset at 08:47 which increased the available capability (AC) for the asset within the T-2 window for August 21, 2008 for HE 09-11. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.			
		FINDINGS	
Based upon the information of	otained by the MSA, the MSA is	satisfied that the event was a conti	ravention of ISO rule 6.3.3.
•	M.	ATERIAL FACTS	
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for August 21, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.			
	DELIV	ERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	AUC) at: 4th Floor, 425 - 1st State to the Director of Finance, AUC to be confirmed by email to contable, ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L8 The payment should reference the opping albertams are, with copy	ner of Finance", and delivered to the B. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
The Market Surveillance Admir issue a Notice of Specified Penout in AUC Rule 019.	nistrator (MSA) is granted the planty where the MSA is satisfied	ower and authority under s. 52 of the that a person has contravened an I	ne <i>Alberta Utilities Commission Act</i> to SO rule. Specified penalties are set
		ute regarding the issuance of a Noti sult in a hearing or other proceedin	
		cified Penalty will be made public no its website the link to any decision o	o earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penalty, or if you have any om at compliance@albertamsa.ca.	ther questions or comments
		SIGNATURE	
Signature: Av	last	Signature Date: July	16, 2010

Title:

Name:

Rob Spragins

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-32	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 17, 2008
Date of Referral/Self Report:	N/A	This is the 32 contravention by this month period.	s asset for this rule within a rolling 12
	E	VENT DETAILS	

On August 17, 2008 an offer restatement was submitted for SPBC asset at 20:47 which increased the available capability (AC) for the asset within the T-2 window for August 17, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 17, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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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 beam at compliance@albertanisa.ca.

SIGNATURE

Signature: Many Jung

Signature Date:

July 16, 2010

lany:

Rob Spragins

Title:

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-31 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES Asset ID (if applicable): SPBC Self Report ⊠ NO August 17, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 31 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. EVENT DETAILS On August 17, 2008 an offer restatement was submitted for SPBC asset at 10:17 which increased the available capability (AC) for the asset within the T-2 window for August 17, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. FINDINGS Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPBC asset for August 17, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 4. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

Signature:	Nobert Gerse	Signature Date:	July 15, 2010
Vante.	Rob Spragins	Title:	Manager Investigation

# Nation of Stransparents of the

Date of Issue: July 16, 2010		Payment 0	Oue Date: August 16, 2010
MSA File Number:	2009-025-30	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		+ -/
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	August 15, 2008
Date of Referral/Self Report:	N/A	This is the 30 contravention by this asset for this rule within a rolling month period.	
	E	EVENT DETAILS	

On August 15, 2008 an offer restatement was submitted for SP8C asset at 10:43 which increased the available capability (AC) for the asset within the T-2 window for August 15, 2008 for HE 13. This restatement had the effect of increasing the AC value from 49 to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 15, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

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SIGNATURE

Signature: Add Spragins Title: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

# MOTITUE OR SPECIFIED PEVALTY

Date of Issue: July 16, 2010	ly 16, 2010 Payment Due Date: August 16, 2010		ue Date: August 16, 2010	
MSA File Number:	2009-025-29	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPaint Energy Solutions	Amount:	+ -/***	
Asset ID (If applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	August 15, 2008	
Date of Referral/Self Report:	N/A	This is the 29 contravention by this asset for this rule within a rolling 1 month period.		

### EVENT DETAILS

On August 15, 2008 an offer restatement was submitted for SPBC asset at 09:58 which increased the available capability (AC) for the asset within the T-2 window for August 15, 2008 for HE 12. This restatement had the effect of increasing the AC value from 14 to 49 MW. At 10:01, another restatement was submitted within the T-2 window that had the effect of Increasing the AC value from 49 MW to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 15, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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### SIGNATURE

Signature: Askert Frag Signature Date: July 16, 2010

	311(42(3)	SPECIAL PEVALTY		
Date of Issue: July 16, 2010		Payment Di	ue Date: Augu	ust 16, 2010
MSA File Number:	2009-025-28	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES	⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 14, 2	2008
Date of Referral/Self Report:	N/A	This is the 28 contravention by this month period.	s asset for thi	s rule within a rolling 12
	ε	VENT DETAILS		
asset within the T-2 window for 14 MW. ISO rule 6.3.3 requithrough interchange e-tag quattwo hours before the start of the exporter) who offers (bids) ein which the the offer is to tak wheel-through interchange training requested by the system control.	or August 14, 2008 for HE 22-2 tres that the sum of the imported antities (MW) for a single import the settlement interval if the im nergy must submit an energy re se effect, if the some of the imp ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	5PBC asset at 20:08 which increased 3. This restatement had the effect of er's (exporter's) e-tag quantities (MV t source (sink) asset may only be le porter (exporter) has an acceptable estatement in accordance with rule orter's (exporter's) e-tag quantities for such settlement interval is less of the e-tag quantities (MW) and in ater than the AC offerred two hours	of increasing to the All and import so than the All operational roads. S.	the AC value from 12 to ter's (exporter's) wheel- C of such asset stated eason. Each importer to the settlement interval porter's (exporter's) Unless otherwise porter's) wheel through
		FINDINGS		
Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.				
	M/	ATERIAL FACTS		
<ol> <li>AESO restatement of</li> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information</li> </ol>	mation Request to NorthPoint E	.4, 2008. s applicable.	€.	
	DELIV	/ERY OF PAYMENT	-	
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		NOTICE		
		ower and authority under s. 52 of the that a person has contravened an I		
		ute regarding the issuance of a Noti isult in a heiaring or other proceeding		
		cified Penalty will be made public no its website the link to any decision of		
		ecified Penalty, or if you have any o m at compliance@albertamsa.cai.	ther question	s or comments
		SIGNATURE		

Signature: Date: Signature: July 16, 2010 Tole: Manager Investigations Name:

### OT (OF OF SPECIFIES PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-27 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report Asset ID (if applicable): SPBC ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 14, 2008 This is the 27 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

EVENT DETAILS

On August 14, 2008 an offer restatement was submitted for SPBC asset at 18:42 which increased the available capability (AC) for the asset within the T-2 window for August 14, 2008 for HE 21. This restatement had the effect of increasing the AC value from 5 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 14, 2008.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:

Signature Date:

July 16, 2010

Name:

Title:

Date of 155de. July 10, 2010		Payment Due Date. August 10, 2010		
MSA File Number:	2009-025-26	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions			
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	August 10, 2008	
Date of Referral/Self Report:	N/A	This is the 26 contravention by this asset for this rule within a rolling month period.		
	_	NEVE DESCRIPT		

### EVENT DETAILS

On August 10, 2008 an offer restatement was submitted for SPBC asset at 14:29 which increased the available capability (AC) for the asset within the T-2 window for August 10, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement Interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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- AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:

July 16, 2010

NATE:

Date of Issue: July 16, 2010		Payment I	Due Date: Augi	ust 16, 2010
MSA File Number:	2009-025-25	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions		¥ 2,000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES	⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 8, 20	008
Date of Referral/Self Report:	N/A	This is the 25 contravention by this asset for this rule within a roll month period.		s rule within a rolling 12
		DESTRUCTION OF THE PROPERTY OF		10.00

### **EVENT DETAILS**

On August 8, 2008 an offer restatement was submitted for SPBC asset at 13:27 which increased the available capability (AC) for the asset within the T-2 window for August 8, 2008 for HE 15-16. This restatement had the effect of increasing the AC value from 25 to 34 MW. At 13:59, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 34 MW to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval

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# SIGNATURE

Rob Spragns Signature: Signature Dece: buly 16, 2019

Name: Manager Investigations

Date of Issue: July 16, 2010	of Issue: July 16, 2010 Payment Due Date: August 16, 2010		Due Date: August 16, 2010	
MSA File Number:	2009-025-24	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, .,	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule;	6.3.3	Date of Contravention:	August 8, 2008	
Date of Referral/Self Report:	N/A	This is the 24 contravention by this asset for this rule within a rollin month period.		
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### **EVENT DETAILS**

On August 8, 2008 an offer restatement was submitted for SPBC asset at 07:21 which increased the available capability (AC) for the asset within the T-2 window for August 8, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### **MATERIAL FACTS**

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

- AESO restatement data for SPBC asset for August 8, 2008.
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### **DELIVERY OF PAYMENT**

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

SIGNATURE

Signature:

Name.

21.0

Signature Date:

July 16, 2010

litie:

Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-23 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): SPBC Self Report YES NO Date of Contravention: August 6, 2008 ISQ Rule: 6.3.3 This is the 23 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

# EVENT DETAILS

On August 6, 2008 an offer restatement was submitted for SPBC asset at 21:31 which increased the available capability (AC) for the asset within the T-2 window for August 6, 2008 for HE 24. This restatement had the effect of increasing the AC value from 22 to 24 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

# MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 6, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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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.

SIGNATURE

Signature:

Malyna

-Genature Date:

July 16, 2010

Name:

Rob Spragins

112:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-22	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable);	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	August 5, 2008
Date of Referral/Self Report:	N/A	This is the 22 contravention by thi month period.	is asset for this rule within a rolling 12
_	E	VENT DETAILS	

On August 5, 2008 an offer restatement was submitted for SPBC asset at 22:18 which increased the available capability (AC) for the asset within the T-2 window for August 5, 2008 for HE 24. This restatement had the effect of increasing the AC value from 49 to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

# MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 5, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

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SIGNATURE

Signature: Met July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-21	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	1 -	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	August 5, 2008	
Date of Referral/Self Report:	N/A	This is the 21 contravention by this asset for this rule within a roll month period.		
		EVENT DETAILS		

On August 5, 2008 an offer restatement was submitted for SPBC asset at 18:53 which increased the available capability (AC) for the asset within the T-2 window for August 5, 2008 for HE 21. This restatement had the effect of increasing the AC value from 38 to 48 MW. At 19:41, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 48 MW to 47 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transatcion e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 5, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

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		SIGNATURE	
Signature:	Ment 3,00	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-20	Specified Penalty	\$ 2,000	
Market Participant Name;	NorthPoint Energy Solutions	Amount:	7 2/000	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☑ NO	
ISO Rule:	6.3.3	Date of Contravention:	August 1, 2008	
Date of Referral/Self Report:	N/A	This is the 20 contravention by this asset for this rule within a rolling 1 month period.		
		VENT DETAILS		

On August 1, 2008 an offer restatement was submitted for SPBC asset at 19:34 which increased the available capability (AC) for the asset within the T-2 window for August 1, 2008 for HE 22. This restatement had the effect of increasing the AC value from 30 to 37 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for August 1, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:

Name:

Rob Spraging

Signature Date:

July 16, 2010

Title:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-19	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	July 30, 2008
Date of Referral/Self Report:	N/A	This is the 19 contravention by this asset for this rule within a rolling month period.	
	E	EVENT DETAILS	

On July 30, 2008 an offer restatement was submitted for SPBC asset at 06:02 which increased the available capability (AC) for the asset within the T-2 window for July 30, 2008 for HE 9. This restatement had the effect of increasing the AC value from 25 to 50 MW. At 06:13, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 MW to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

interval.

- 1. AESO restatement data for SPBC asset for July 30, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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		SIGNATURE	
Signature:	When 1 km	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# OTROE OF SPECIFIED PENALT

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-18 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPEC Self Report YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: July 30, 2008 This is the 18 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: month period.

EVENT DETAILS

On July 30, 2008 an offer restatement was submitted for SPBC asset at 06:19 which increased the available capability (AC) for the asset within the T-2 window for July 30, 2008 for HE 8. This restatement had the effect of increasing the AC value from 25 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for July 30, 2008.
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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@albertanisa.ca.

SIGNATURE Signature: Signature Date: July 15, 2010

Name: Title: Manager Investigations

Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-17 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SP8C Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: July 29, 2008 This is the 17 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** 

On July 29, 2008 an offer restatement was submitted for SPBC asset at 13:06 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 15-16. This restatement had the effect of increasing the AC value from 38 to 63 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for July 29, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

# DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

### NOTICE

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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 30 days 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.

> **SIGNATURE** \*\*\*\*\* W

Signature:

Signature Date:

July 16, 2010

Name:

Title:

# Massign of Charles and Savilles

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-16	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset 10 (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	July 29, 2008
Date of Referral/Self Report:	N/A	This is the 16 contravention by this asset for this rule within a rollin month period.	
	·		

# EVENT DETAILS

On July 29, 2008 an offer restatement was submitted for SPBC asset at 11:56 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 14. This restatement had the effect of increasing the AC value from 38 to 63 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 pnor to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for July 29, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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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.

		SIGNATURE	
Signature:	When I you	Synature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

THE HEISTERN STREET, IN			
Date of Issue: July 16, 2010		Payment D	Due Date: August 16, 2010
MSA File Number:	2009-025-15	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	, ,
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention;	July 29, 2008
Date of Referral/Self Report:	N/A	This is the 15 contravention by the month period.	as asset for this rule within a rolling 12
	Ε	VENT DETAILS	
asset within the T-2 window from ISO rule 6.3.3 requires that the interchange e-tag quantities (in before the start of the settlem who offers (bids) energy must the the offer is to take effect, through interchange transatcion the system controller under rules.	or July 29, 2008 for HE 9. This be sum of the importer's (export MW) for a single import source tent interval if the importer (exp t submit an energy restatement if the some of the importer's (exp on e-tag quantities (MW) for sure tile 6.3.7, the sum of the e-tag of the e-tag of the sum of the e-tag of the e-tag of the	ter's) e-tag quantities (MW) and im, (sink) asset may only be less than porter) has an acceptable operation in accordance with rule 3.5.3.2 pri exporter's) e-tag quantities (MW) ar ich settlement interval is less than t	asing the AC value from 25 to 39 MW, porter's (exporter's) wheel-through the AC of such asset stated two hours all reason. Each importer (exporter) for to the settlement interval in which and importer's (exporter's) wheel-the AC. Unless otherwise requested by porter's) wheel through interchange
		FINDINGS	
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.
	MA	ATERIAL FACTS	-
AESO information re     MSA Information Re     NorthPoint Energy S     MSA follow-up Information	mation Request to NorthPoint E	s applicable.	9.
_	DELTA	/ERY OF PAYMENT	
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to con ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3Lt The payment should reference to hphance@albertamsa.ca, with copy	ter of Finance", and delivered to the 8. Questions in respect of delivery of this notice and related MSA File #. to the following AUC personnel: Cora and Darin Lowther (Director, Market
		NOTICE	
			he <i>Alberta Utilities Commission Act</i> to ISO rule. Specified penalties are set
		ute regarding the issuance of a Noti sult in a hearing or other proceeding	ice of Specified Penalty or failure to ng before the AUC.
			to earlier 30 days and no later than 45 of the AUC respecting the specified
		ecified Penalty, or if you have any o m at compliance galbertamsa.ca.	other questions or comments
		SIGNATURE	
Signature: U	het yes	Signature Date: July	16, 2010

Title:

Manager Investigations

Name:

Rob Spragins

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-14	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	July 29, 2008	
Date of Referral/Self Report:	N/A	This is the 14 contravention by this asset for this rule within a rolling 12 month period.		
		NENT DETAILS		

On July 29, 2008 an offer restatement was submitted for SPBC asset at 05:21 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW, At 06:19, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 25 MW to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for July 29, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

# DELIVERY OF PAYMENT

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SIGNATURE

Siignature:

Magnet

Signature Gale:

July 16, 2013

Title:

Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-13 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES Ø NO SPBC Asset ID (if applicable): ISO Rule: Date of Contravention: July 25, 2008 6.3.3 This is the 13 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period.

EVENT DETAILS

On July 25, 2008 an offer restatement was submitted for SPBC asset at 20:07 which increased the available capability (AC) for the asset within the T-2 window for July 25, 2008 for HE 23. This restatement had the effect of increasing the AC value from 5 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

# **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. . . . . .

# MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for July 25, 2008.
- AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.

. . . . .

- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE Signature Date: July 16, 2010 Signature: Rob Spragins Title: Manager Investigations Name:

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-12	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	July 25, 2008
Date of Referral/Self Report:	N/A	This is the 12 contravention by this asset for this rule within a rolling 12 month period.	
	É	VENT DETAILS	

On July 25, 2008 an offer restatement was submitted for SPBC asset at 08:56 which increased the available capability (AC) for the asset within the T-2 window for July 25, 2008 for HE 10. This restatement had the effect of increasing the AC value from 14 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 pnor to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for July 25, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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If your organization disputes the issuance of this Nobce 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.

Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-11 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions YES Self Report ⊠ NO Asset ID (if applicable): SPBC Date of Contravention: July 24, 2008 ISO Rule: 6.3.3 This is the 11 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: month period. **EVENT DETAILS** On July 24, 2008 an offer restatement was submitted for SPBC asset at 20:20 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 22. This restatement had the effect of increasing the AC value from 9 to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

**FINDINGS** 

MATERIAL FACTS

NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31,

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SIGNATURE

Title:

Signalture 'Oalte:

沙沙 16, 2010

Manager Investigations

If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments

pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

regarding this matter, please contact the MSA compliance team at compliance@althestamsa.ca.

Rob Spragins

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.

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

2009.

Rules) darin.lowther@auc.ab.ca.

out in AUC Rule 019.

Signature:

Namer

AESO restatement data for SPBC asset for July 24, 2008.
AESO information request, response, and referral as applicable.

MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.

MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-10	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset 10 (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	July 24, 2008
Date of Referral/Self Report:	N/A	This is the 10 contravention by this asset for this rule within a rolling 12 month period.	
	E	VENT DETAILS	

On July 24, 2008 an offer restatement was submitted for SP8C asset at 18:00 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 21. This restatement had the effect of increasing the AC value from 0 to 9 MW. At 19:13, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 9 MW to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the he offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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- 2. AESO information request, response, and referral as applicable.
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- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3&8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@atic.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

### NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penarty will be made public no earlier 30 days 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.

SIGNATURE

Signature:

Name:

14

Signature Date:

July 16, 2010

Title:

# Name of the second of the seco

- Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-9	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	
Asset ID (if applicable):	SPBC	Self Report	☐ YES 🖾 NO
ISO Rule:	6.3.3	Date of Contravention:	July 24, 2008
Date of Referral/Self Report:	N/A	This is the 9 contravention by this asset for this rule within a rolling 1 month period.	

# **EVENT DETAILS**

On July 24, 2008 an offer restatement was submitted for SPBC asset at 17:56 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 20. This restatement had the effect of increasing the AC value from 0 to 25 MW. At 18:00, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 25 MW to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

# FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for July 24, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

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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 team at compliance.

	11	SIGNATURE	
Signature:	When you	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title.	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-8	Specified Penalty Amount:	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions			
Asset ID (if applicable):	SPBC	Self Report	☐ YES 🖾 NO	
ISO Rule:	6.3.3	Date of Contravention:	July 24, 2008	
Date of Referral/Self Report:	N/A	This is the 8 contravention by this asset for this rule within a rolling 12 month period.		
	E	VENT DETAILS		
On July 24, 2008 an offer rest	atement was submitted for SPF	- BC asset at 17:16 which increased t	he available capability (AC) for the	

On July 24, 2008 an offer restatement was submitted for SPBC asset at 17:16 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for July 24, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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	/	SIGNATURE	
Signature:	Mat Kun	Signature Date:	July 16, 2010
Name:	Rob Sprägins	Title:	Mariager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-7	Specified Penalty Amount:	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions		\$ 2,000
Asset JD (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	July 24, 2008
Date of Referral/Self Report:	N/A	This is the 7 contravention by this asset for this rule within a rolling 12 month period.	
	Ε	EVENT DETAILS	
			I the available capability (AC) for the creasing the AC value from 35 to 50 MW.

On July 24, 2008 an offer restatement was submitted for SPBC asset at 11:51 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 14. This restatement had the effect of increasing the AC value from 35 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for July 24, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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# SIGNATURE

Signature:	Partiton.	Signature Date:	July 16, 2010
Name;	Rob Spragins	O Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-6	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	¥ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	July 22, 2008
Date of Referral/Self Report:	N/A	This is the 6 contravention by this asset for this rule within a rolling 12 month period.	
	E	VENT DETAILS	

On July 22, 2008 an offer restatement was submitted for SPBC asset at 8:33 which increased the available capability (AC) for the asset within the T-2 window for July 22, 2008 for HE 11. This restatement had the effect of increasing the AC value from 0 to 9 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- 1. AESO restatement data for SPBC asset for July 22, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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Signature: Signature Date: July 16, 2010

Name: Rob Spragins Title: Manager Investigations

Date of Issue: July 16, 2010		Payment (	Due Date: August 16, 2010	
MSA File Number:	2009-025-5	Specified Penalty	\$ 2,000	
Market Participant Name:	NorthPoint Energy Solutions	Amount:		
Asset ID (if applicable):	SP8C	Self Report	☐ YES ⊠ NO	
ISO Rule:	6.3.3	Date of Contravention:	July 19, 2008	
Date of Referral/Self Report:	N/A	This is the 5 contravention by thi month period.	s asset for this rule within a rolling 12	
	E	VENT DETAILS		
within the T-2 window for July rule 6.3.3 requires that the su interchange e-tag quantities (i before the start of the settlem who offers (bids) energy must the the offer is to take effect, through interchange transator the system controller under rules.	19, 2008 for HE 8. This restatem of the importer's (exporter's MW) for a single import sourcement interval if the importer (exporter) and the some of the importer's (exporter) for summer quantities (MW) for summer 6.3.7, the sum of the e-tag of	ement had the effect of increasing ) e-tag quantities (MW) and import (sink) asset may only be less than porter) has an acceptable operation in accordance with rule 3.5.3.2 prexporter's) e-tag quantities (MW) a sich settlement interval is less than quantities (MW) and importer's (exercise AC offerred two hours before the	the AC of such asset stated two hours nal reason. Each importer (exporter) for to the settlement interval in which and importer's (exporter's) wheel- the AC. Unless otherwise requested by sporter's) wheel through interchange	
		FINDINGS		
Based upon the information of	otained by the MSA, the MSA is	satisfied that the event was a con	travention of ISO rule 6.3.3.	
	M.	ATERIAL FACTS		
<ol> <li>AESO restatement of</li> <li>AESO information re</li> <li>MSA Information Re</li> <li>NorthPoint Energy S</li> <li>MSA follow-up Information</li> </ol>	mation Request to NorthPoint E	2008. is applicable.	09.	
	DELIN	VERY OF PAYMENT		
Alberta Utilities Commission (A payment should be addressed Delivery of payment should als	AUC) at: 4th Floor, 425 - 1st St to the Director of Finance, AUC so be confirmed by email to cor ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, T2P 3L The payment should reference npliance@albertamsa.ca, with copy	ster of Finance", and delivered to the .8. Questions in respect of delivery of this notice and related MSA File #, y to the following AUC personnel: Cora, and Darin Lowther (Director, Market	
	·	NOTICE		
			the Alberta Utilities Commission Act to ISO rule. Specified penalties are set	
		ute regarding the issuance of a No esult in a hearing or other proceedi	tice of Specified Penalty or failure to ing before the AUC.	
			no earlier 30 days and no later than 45 of the AUC respecting the specified	
		ecified Penalty, or if you have any m at compliance@albertamsa.ca.	other questions or comments	
	,	SIGNATURE		
Sygnatures	Aste At	Signature Date: July	v 16 2010	

Title:

Manager Investigations

Rob Spragins

Name:

Date of Issue: July 16, 2010		Payment 0	Jue Date: August 16, 2010
MSA File Number:	2009-025-4	Specified Penalty	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	\$ 2,000
Asset ID (if applicable):	SPBC	Self Report	☐ YES ⊠ NO
ISO Rule:	6.3.3	Date of Contravention:	July 15, 2008
Date of Referral/Self Report:	N/A	This is the 4 contravention by this month period.	asset for this rule within a rolling 12
	E	VENT DETAILS	
through interchange e-tag quatwo hours before the start of (exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange transpersed by the system continuous for the continuous forms of the system continuous for system continuous forms of the system continuous for system continuous forms of the system continuous	antities (MW) for a single impor the settlement interval if the im nergy must submit an energy n se effect, if the some of the imp ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	porter (exporter) has an acceptable estatement in accordance with rule orter's (exporter's) e-tag quantities of for such settlement interval is less	ess than the AC of such asset stated e operational reason. Each importer 3.5.3.2 prior to the settlement interval (MW) and importer's (exporter's) than the AC. Unless otherwise importer's (exporter's) wheel through
Based upon the information of	btained by the MSA, the MSA is	satisfied that the event was a cont	ravention of ISO rule 6.3.3.
_		ATERIAL FACTS	
The material facts relied upon by the MSA include the following:  1. AESO restatement data for SPBC asset for July 15, 2008.  2. AESO information request, response, and referral as applicable.  3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.  4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.  5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.  6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.			
	DELIN	ERY OF PAYMENT	
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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 galbertamsa.ca.

SIGNATURE

Signature:

Signature Date:

July 16, 2010

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-3	Specified Penalty	\$ 1,500	
Market Participant Name:	NorthPoint Energy Solutions	Amount:	7 1,300	
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
JSO Rule:	6.3.3	Date of Contravention;	July 15, 2008	
Date of Referral/Self Report:	N/A	This is the 3 contravention by this asset for this rule within a rolling 12 month period.		
		EVENT DETAILS		

On July 15, 2008 an offer restatement was submitted for SPBC asset at 12:24 which increased the available capability (AC) for the asset within the T-2 window for July 15, 2008 for HE 14-15. This restatement had the effect of increasing the AC value from 13 to 15 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 pnor to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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- 1. AESO restatement data for SPBC asset for July 15, 2008.
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- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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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.

	=	SIGNATURE	
	11		
Signature:	When the	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010		
MSA File Number:	2009-025-2	Specified Penalty Amount:	\$ 1,000	
Market Participant Name:	NorthPoint Energy Solutions			
Asset ID (if applicable):	SPBC	Self Report	☐ YES ☒ NO	
ISO Rule:	6.3.3	Date of Contravention:	July 14, 2008	
Date of Referral/Self Report:	N/A	This is the 2 contravention by this asset for this rule within a rolling 12 month period.		
EVENT DETAILS				

On July 14, 2008 an offer restatement was submitted for SPBC asset at 17:56 which increased the available capability (AC) for the asset within the T-2 window for July 14, 2008 for HE 20. This restatement had the effect of increasing the AC value from 7 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPBC asset for July 14, 2008.
- AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson.eauc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE

Signature:

Name:

....

Signature Date:

July 16, 2010

Date of Issue: July 16, 2010		Payment Due Date: August 16, 2010	
MSA File Number:	2009-025-1	Specified Penalty Amount:	\$500
Market Participant Name:	NorthPoint Energy Solutions		•
Asset ID (if applicable):	SPBC	Self Report	☐ YES ဩ NO
ISO Rule:	6.3.3	Date of Contravention;	July 14, 2008
Date of Referral/Self Report:	N/A	This is the 1 contravention by the month period.	is asset for this rule within a rolling 12
EVENT DETAILS			
On July 14, 2008 an offer restatement was submitted for SPBC asset at 17:23 which increased the available capability (AC) for the asset within the T-2 window for July 14, 2008 for HE 19. This restatement had the effect of increasing the AC value from 7 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.  FINDINGS			
Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.			
MATERIAL FACTS			
<ol> <li>AESO restatement data for SPBC asset for July 14, 2008.</li> <li>AESO information request, response, and referral as applicable.</li> <li>MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.</li> <li>NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.</li> <li>MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.</li> <li>NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.</li> </ol>			
	DELIV	/ERY OF PAYMENT	
Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.			
NOTICE			
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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 30 days 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.			
		ecified Penalty, or if you have any m at compliance@albertamsa.ca.	other questions or comments
		SIGNATURE	
Signature:	Met Kun -	Signature Date: Ju	Iy 16, 2010
Name:	Rob Spragins	Title: Ma	anager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-308 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO SPSK Self Report Asset ID (if applicable): April 22, 2009 6.3.3 Date of Contravention: ISO Rule: This is the 129 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On April 22, 2009 an offer restatement was submitted for SPSK asset at 10:19 which increased the available capability (AC) for the asset within the T-2 window for April 22, 2009 for HE 11. This restatement had the effect of increasing the AC value from 25 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for April 22, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature Date: July 16, 2010

Title:

Manager Investigations

Signature:

Name:

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-307 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO SPSK Self Report Asset ID (if applicable): Date of Contravention: March 29, 2009 6.3.3 ISO Rule: This is the 128 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On March 29, 2009 an offer restatement was submitted for SPSK asset at 06:32 which increased the available capability (AC) for the asset within the T-2 window for March 29, 2009 for HE 09. This restatement had the effect of increasing the AC value from 0 to 52 MW. At 06:35, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 52 MW to 50 MW for HE 09. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for March 29, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-306 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ No ISO Rule: 6.3.3 Date of Contravention: March 8, 2009 This is the 127 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On March 8, 2009 an offer restatement was submitted for SPSK asset at 10:46 which increased the available capability (AC) for the asset within the T-2 window for March 8, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for March 8, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-305 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: March 6, 2009 This is the 126 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On March 6, 2009 an offer restatement was submitted for SPSK asset at 17:09 which increased the available capability (AC) for the asset within the T-2 window for March 6, 2009 for HE 18-20. This restatement had the effect of increasing the AC value from 83 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for March 6, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-304 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: March 3, 2009 This is the 125 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On March 3, 2009 an offer restatement was submitted for SPSK asset at 14:39 which increased the available capability (AC) for the asset within the T-2 window for March 3, 2009 for HE 17. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for March 3, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-303 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES X NO ISO Rule: 6.3.3 Date of Contravention: March 3, 2009 This is the 124 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On March 3, 2009 an offer restatement was submitted for SPSK asset at 05:34 which increased the available capability (AC) for the asset within the T-2 window for March 3, 2009 for HE 7. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for March 3, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-302 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: February 26, 2009 This is the 123 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 26, 2009 an offer restatement was submitted for SPSK asset at 19:31 which increased the available capability (AC) for the asset within the T-2 window for February 26, 2009 for HE 21-22. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for February 26, 2009 AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Mathema Rob Spragins Signature: Signature Date: July 16, 2010 Name:

Title:

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-301 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report YES ⊠ NO ISO Rule: Date of Contravention: 6.3.3 February 19, 2009 This is the 122 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 19, 2009 an offer restatement was submitted for SPSK asset at 11:59 which increased the available capability (AC) for the asset within the T-2 window for February 19, 2009 for HE 14. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for February 19, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Arlent & Rob Spragins

Signature:

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-300 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: February 18, 2009 This is the 121 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 18, 2009 an offer restatement was submitted for SPSK asset at 07:38 which increased the available capability (AC) for the asset within the T-2 window for February 18, 2009 for HE 9. This restatement had the effect of increasing the AC value from 42 to 78 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for February 18, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Arley AC. Rob Spregins Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-299 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: February 17, 2009 This is the 120 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 17, 2009 an offer restatement was submitted for SPSK asset at 11:29 which increased the available capability (AC) for the asset within the T-2 window for February 17, 2009 for HE 13-14. This restatement had the effect of increasing the AC value from 84 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for February 17, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-298 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report YES NO NO Asset ID (if applicable): SPSK February 14, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 119 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS**

On February 14, 2009 an offer restatement was submitted for SPSK asset at 04:17 which increased the available capability (AC) for the asset within the T-2 window for February 14, 2009 for HE 6-7. This restatement had the effect of increasing the AC value from 84 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPSK asset for February 14, 2009
- 2. AESO information request, response, and referral as applicable.
- MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

#### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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		SIGNATURE	
Signature:	arteAk nea	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-297 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES ⊠ NO Asset ID (if applicable): SPSK February 13, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 118 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 13, 2009 an offer restatement was submitted for SPSK asset at 23:48 which increased the available capability (AC) for the asset within the T-2 window for February 13, 2009 for HE 24. This restatement had the effect of increasing the AC value from 103 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for February 13, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora, anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca. NOTICE The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the Alberta Utilities Commission Act to

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

		SIGNATURE	
Signature:	polyte un	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-296 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES NO NO Asset ID (if applicable): SPSK February 12, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 117 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 12, 2009 an offer restatement was submitted for SPSK asset at 01:42 which increased the available capability (AC) for the asset within the T-2 window for February 12, 2009 for HE 4. This restatement had the effect of increasing the AC value from 84 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for February 12, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

#### **NOTICE OF SPECIFIED PENALTY** Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-295 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report YES NO NO 6.3.3 Date of Contravention: February 10, 2009 ISO Rule: This is the 116 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 10, 2009 an offer restatement was submitted for SPSK asset at 08:21 which increased the available capability (AC) for the asset within the T-2 window for February 10, 2009 for HE 10-11. This restatement had the effect of increasing the AC value from 42 to 84 MW. At 08:27, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 84

On February 10, 2009 an offer restatement was submitted for SPSK asset at 08:21 which increased the available capability (AC) for the asset within the T-2 window for February 10, 2009 for HE 10-11. This restatement had the effect of increasing the AC value from 42 to 84 MW. At 08:27, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 84 MW to 113 MW for HE 10-11. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPSK asset for February 10, 2009
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

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Signature:	Metkus	Signature Date:	July 16, 2010
Name:	Rob Spragins (	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-294 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO February 6, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 115 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 6, 2009 an offer restatement was submitted for SPSK asset at 16:35 which increased the available capability (AC) for the asset within the T-2 window for February 6, 2009 for HE 18-19. This restatement had the effect of increasing the AC value from 63 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for February 6, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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 30 days 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.

	1 / / 1	SIGNATURE	
Signature:	later Ku	Signature Date:	July 16, 2010
Name:	Rob Spragins	Y Title:	Manager Investigations

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-293 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: February 6, 2009 This is the 114 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 6, 2009 an offer restatement was submitted for SPSK asset at 12:22 which increased the available capability (AC) for the asset within the T-2 window for February 6, 2009 for HE 14-15. This restatement had the effect of increasing the AC value from 63 to 105 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for February 6, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-292 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ No ISO Rule: 6.3.3 Date of Contravention: February 3, 2009 This is the 113 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 3, 2009 an offer restatement was submitted for SPSK asset at 22:39 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 24. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for February 3, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: July 16, 2010 Signature Date: Name:

Title:

#### **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-291 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: February 2, 2009 This is the 112 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 2, 2009 an offer restatement was submitted for SPSK asset at 09:24 which increased the available capability (AC) for the asset within the T-2 window for February 2, 2009 for HE 12. This restatement had the effect of increasing the AC value from 42 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for February 2, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora

Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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		SIGNATURE	
Signature:	Mat Kens	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-290 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: February 1, 2009 This is the 111 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 1, 2009 an offer restatement was submitted for SPSK asset at 21:27 which increased the available capability (AC) for the asset within the T-2 window for February 1, 2009 for HE 23-24. This restatement had the effect of increasing the AC value from 42 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for February 1, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-289 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES NO NO Asset ID (if applicable): **SPSK** February 1, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 110 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On February 1, 2009 an offer restatement was submitted for SPSK asset at 01:22 which increased the available capability (AC) for the asset within the T-2 window for February 1, 2009 for HE 3-4. This restatement had the effect of increasing the AC value from 42 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for February 1, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-288 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ⊠ NO Asset ID (if applicable): **SPSK** Self Report ☐ YES January 31, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 109 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 31, 2009 an offer restatement was submitted for SPSK asset at 09:29 which increased the available capability (AC) for the asset within the T-2 window for January 31, 2009 for HE 11-12. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 31, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-287 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO January 30, 2009 Date of Contravention: ISO Rule: 6.3.3 This is the 108 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 30, 2009 an offer restatement was submitted for SPSK asset at 10:19 which increased the available capability (AC) for the asset within the T-2 window for January 30, 2009 for HE 12-13. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for January 30, 2009 2. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE

Title:

Signature:

Name:

Signature Date:

July 16, 2010

#### **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-286 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO January 30, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 107 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 30, 2009 an offer restatement was submitted for SPSK asset at 08:11 which increased the available capability (AC) for the asset within the T-2 window for January 30, 2009 for HE 11. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

interval.

- 1. AESO restatement data for SPSK asset for January 30, 2009
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

			SIGNATURE	
Signature:	later Kora	_	Signature Date:	July 16, 2010
Name:	Rob Spragins	ト	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-285 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): Self Report ☐ YES NO NO SPSK January 29, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 106 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 29, 2009 an offer restatement was submitted for SPSK asset at 22:58 which increased the available capability (AC) for the asset within the T-2 window for January 30, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 29, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.qhavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days and no later than 45

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

		SIGNATURE	
Signature:	folk Kun	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-284 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report YES NO NO Asset ID (if applicable): **SPSK** January 27, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 105 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 27, 2009 an offer restatement was submitted for SPSK asset at 14:10 which increased the available capability (AC) for the asset within the T-2 window for January 27, 2009 for HE 17. This restatement had the effect of increasing the AC value from 42 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 27, 2009 AESO information request, response, and referral as applicable. 2. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE

Title:

Signature: Name: Signature Date:

July 16, 2010

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-283 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ⊠ NO Self Report ☐ YES Asset ID (if applicable): SPSK January 25, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 104 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 25, 2009 an offer restatement was submitted for SPSK asset at 22:18 which increased the available capability (AC) for the asset within the T-2 window for January 26, 2009 for HE 1. This restatement had the effect of increasing the AC value from 42 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 25, 2009 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-282 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⋈ No ISO Rule: 6.3.3 Date of Contravention: January 23, 2009 This is the 103 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 23, 2009 an offer restatement was submitted for SPSK asset at 22:13 which increased the available capability (AC) for the asset within the T-2 window for January 24, 2009 for HE 1. This restatement had the effect of increasing the AC value from 103 to 128 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for January 23, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

	NOTICE OF	SPECIFIED PENAL	ΤΥ
Date of Issue: July 16, 2010		Pay	yment Due Date: August 16, 2010
MSA File Number:	2009-025-281	Specified Penalty	\$ 2,000
Market Participant Name:	NorthPoint Energy Solutions	Amount:	7 -/
Asset ID (if applicable):	SPSK	Self Report	☐ YES ☒ NO
ISO Rule:	6.3.3	Date of Contravention:	January 23, 2009
Date of Referral/Self Report:	N/A	This is the 102 contravent month period.	ion by this asset for this rule within a rolling
		EVENT DETAILS	
(exporter) who offers (bids) e in which the the offer is to tak wheel-through interchange tra requested by the system contr	the settlement interval if the im nergy must submit an energy rate effect, if the some of the imp ansatcion e-tag quantities (MW) roller under rule 6.3.7, the sum	aporter (exporter) has an acceptance when the content of the content of the content of the e-tag quantities (MW ater than the AC offerred two populations of the content of	hely be less than the AC of such asset stated ceptable operational reason. Each importer ith rule 3.5.3.2 prior to the settlement interval antities (MW) and importer's (exporter's) I is less than the AC. Unless otherwise I) and importer's (exporter's) wheel through o hours before the start of a settlement
Paged upon the information of		FINDINGS	
sased upon the information of		satisfied that the event was ATERIAL FACTS	a contravention of ISO rule 6.3.3.
<ol><li>MSA follow-up Information</li></ol>		Energy Solutions dated July 3 August 26, 2009 response to	t dated June 23, 2009. 31, 2009. MSA information request dated July 31,
		ERY OF PAYMENT	
Alberta Utilities Commission (Al Dayment should be addressed in Delivery of payment should also	UC) at: 4th Floor, 425 - 1st Str to the Director of Finance, AUC o be confirmed by email to con ab.ca, Sabi Ghavami (Director,	reet S.W., Calgary, Alberta, 7 . The payment should refer appliance@albertamsa.ca, wit	o Minister of Finance", and delivered to the T2P 3L8. Questions in respect of delivery of rence this notice and related MSA File #. h copy to the following AUC personnel: Cora.ab.ca, and Darin Lowther (Director, Market
		NOTICE	
n accordance with the relevant ay the specified penalty in accordance with s. 5(1) of Al ays after issuance. The MSA venalty.	t enactments and rules, a disput ordance with this notice will result of Rule 019 this Notice of Spectall, if applicable, also post on it	that a person has contravenerate regarding the issuance of sult in a hearing or other processified Penalty will be made process website the link to any described Penalty, or if you have	ublic no earlier 30 days and no later than 45 cision of the AUC respecting the specified
1		SIGNATURE	
gnature:	et Kuan	Signature Date:	July 16, 2010
ame:	1 1 1	Title:	Manager Investigations

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-280 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 23, 2009 This is the 101 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 23, 2009 an offer restatement was submitted for SPSK asset at 00:26 which increased the available capability (AC) for the asset within the T-2 window for January 23, 2009 for HE 2-3. This restatement had the effect of increasing the AC value from 50 to 91 MW for HE 2 and increasing AC value from 51 to 93 for HE 3. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) etag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 23, 2009. AESO information request, response, and referral as applicable. 3 MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

Rob Spragins

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-279 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⋈ NO Self Report Asset ID (if applicable): **SPSK** January 21, 2009 Date of Contravention: ISO Rule: 6.3.3 This is the 100 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 21, 2009 an offer restatement was submitted for SPSK asset at 23:40 which increased the available capability (AC) for the asset within the T-2 window for January 22, 2009 for HE 2. This restatement had the effect of increasing the AC value from 125 to 153 MW. At 23:44, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 153 MW to 125 MW for HE 2. At 00:29 on January 22, 2009, a third restatement was submitted within the T-2 window that had the effect of increasing the AC value from 125 MW to 126 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for January 21, 2009 and January 22, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.

- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

#### NOTICE

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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 30 days 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.

			SIGNATURE	
Signature:	Robert Xu	~	Signature Date:	July 16, 2010
Name:	Rob Spragns	1	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-278 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO Self Report Asset ID (if applicable): **SPSK** January 21, 2009 Date of Contravention: ISO Rule: 6.3.3 This is the 99 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 21, 2009 an offer restatement was submitted for SPSK asset at 05:07 which increased the available capability (AC) for the asset within the T-2 window for January 21, 2009 for HE 8. This restatement had the effect of increasing the AC value from 103 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPSK asset for January 21, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### **DELIVERY OF PAYMENT**

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#### NOTICE

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	SIGNATURE			
Signature:	Chert Beron	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

## **NOTICE OF SPECIFIED PENALTY** Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-277 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 20, 2009 This is the 98 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 20, 2009 an offer restatement was submitted for SPSK asset at 23:32 which increased the available capability (AC) for the asset within the T-2 window for January 21, 2009 for HE 2. This restatement had the effect of increasing the AC value from 42 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 20, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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.

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	Λ.,	SIGNATURE	
Signature:	(Colaster una	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-276 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⋈ No ISO Rule: 6.3.3 Date of Contravention: January 20, 2009 This is the 97 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 20, 2009 an offer restatement was submitted for SPSK asset at 15:11 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 18. This restatement had the effect of increasing the AC value from 42 to 103 MW. At 15:44, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 103 MW to 155 MW for HE 18. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 20, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-275 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 20, 2009 This is the 96 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 20, 2009 an offer restatement was submitted for SPSK asset at 15:44 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 17. This restatement had the effect of increasing the AC value from 42 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for January 20, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Signature: Signature Date: July 16, 2010

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-274 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES ⋈ NO Asset ID (if applicable): SPSK ISO Rule: 6.3.3 Date of Contravention: January 19, 2009 This is the 95 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 19, 2009 an offer restatement was submitted for SPSK asset at 13:03 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 16. This restatement had the effect of increasing the AC value from 92 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 19, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE AHUT Rob Spreams July 16, 2010 Signature: Signature Date:

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-273 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: January 19, 2009 This is the 94 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 19, 2009 an offer restatement was submitted for SPSK asset at 12:12 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 14-15. This restatement had the effect of increasing the AC value from 67 to 92 MW. At 13:03, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 92 MW to 103 MW for HE 15. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 19, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Mytath in	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-272 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 19, 2009 This is the 93 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 19, 2009 an offer restatement was submitted for SPSK asset at 00:31 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 2-3. This restatement had the effect of increasing the AC value from 42 to 92 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 19, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Title:

Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-271 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 17, 2009 This is the 92 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 17, 2009 an offer restatement was submitted for SPSK asset at 11:41 which increased the available capability (AC) for the asset within the T-2 window for January 17, 2009 for HE 14. This restatement had the effect of increasing the AC value from 75 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for January 17, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-270 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 16, 2009 This is the 91 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 16, 2009 an offer restatement was submitted for SPSK asset at 08:04 which increased the available capability (AC) for the asset within the T-2 window for January 16, 2009 for HE 11. This restatement had the effect of increasing the AC value from 84 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 16, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date:

Title:

Name:

July 16, 2010

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-269 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES NO NO Asset ID (if applicable): SPSK January 14, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 90 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 14, 2009 an offer restatement was submitted for SPSK asset at 08:31 which increased the available capability (AC) for the asset within the T-2 window for January 14, 2009 for HE 11. This restatement had the effect of increasing the AC value from 42 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 14, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Title:

Name:

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-268 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES NO NO Asset ID (if applicable): **SPSK** January 14, 2009 ISO Rule: 6.3.3 Date of Contravention: This is the 89 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 14, 2009 an offer restatement was submitted for SPSK asset at 07:58 which increased the available capability (AC) for the asset within the T-2 window for January 14, 2009 for HE 10. This restatement had the effect of increasing the AC value from 0 to 42 MW. At 08:31, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 42 MW to 50 MW for HE 10. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 14, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE July 16, 2010 Signature Date: Signature:

Title:

Name:

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-267 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: January 11, 2009 This is the 88 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 11, 2009 an offer restatement was submitted for SPSK asset at 23:31 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for January 11, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-266 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: January 11, 2009 This is the 87 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 11, 2009 an offer restatement was submitted for SPSK asset at 23:16 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 11, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-265 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES M NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: January 7, 2009 This is the 86 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 7, 2009 an offer restatement was submitted for SPSK asset at 00:56 which increased the available capability (AC) for the asset within the T-2 window for January 7, 2009 for HE 3. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 7, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE July 16, 2010 Signature Date: Signature:

Title:

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-264 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES ⋈ NO Asset ID (if applicable): **SPSK** ISO Rule: 6.3.3 Date of Contravention: January 6, 2009 This is the 85 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 6, 2009 an offer restatement was submitted for SPSK asset at 11:58 which increased the available capability (AC) for the asset within the T-2 window for January 6, 2009 for HE 14. This restatement had the effect of increasing the AC value from 100 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 6, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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

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Signature Date:

July 16, 2010

Manager Investigations

regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

Coler Kr Rob Spragins

Signature: Name:

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-263 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES X NO ISO Rule: 6.3.3 Date of Contravention: January 6, 2009 This is the 84 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 6, 2009 an offer restatement was submitted for SPSK asset at 08:57 which increased the available capability (AC) for the asset within the T-2 window for January 6, 2009 for HE 11. This restatement had the effect of increasing the AC value from 42 to 100 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 6, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-262 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⋈ NO Asset ID (if applicable): SPSK Self Report ISO Rule: 6.3.3 Date of Contravention: January 4, 2009 This is the 83 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 4, 2009 an offer restatement was submitted for SPSK asset at 22:55 which increased the available capability (AC) for the asset within the T-2 window for January 5, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 4, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# **NOTICE OF SPECIFIED PENALTY** Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-261 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions **SPSK** Self Report ☐ YES NO NO Asset ID (if applicable): Date of Contravention: January 4, 2009 ISO Rule: 6.3.3 This is the 82 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 4, 2009 an offer restatement was submitted for SPSK asset at 00:02 which increased the available capability (AC) for the asset within the T-2 window for January 4, 2009 for HE 3. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for January 4, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-260 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: December 23, 2008 This is the 81 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 23, 2008 an offer restatement was submitted for SPSK asset at 23:18 which increased the available capability (AC) for the asset within the T-2 window for December 24, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-259 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⋈ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: December 23, 2008 This is the 80 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 23, 2008 an offer restatement was submitted for SPSK asset at 01:54 which increased the available capability (AC) for the asset within the T-2 window for December 23, 2008 for HE 4. This restatement had the effect of increasing the AC value from 42 to 85 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-258 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 22, 2008 This is the 79 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 22, 2008 an offer restatement was submitted for SPSK asset at 03:13 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 6. This restatement had the effect of increasing the AC value from 0 to 67 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 22, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE ANT Gus

Signature Date:

Title:

Signature: Name:

July 16, 2010

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-257 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: December 21, 2008 This is the 78 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On December 21, 2008 an offer restatement was submitted for SPSK asset at 15:20 which increased the available capability (AC) for the asset within the T-2 window for December 21, 2008 for HE 18. This restatement had the effect of increasing the AC value from 82 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 21, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE MATHY Rob Spragins July 16, 2010 Signature Date: Signature:

Title:

Name:

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-256 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ⋈ No **SPSK** Self Report ☐ YES Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: December 21, 2008 This is the 77 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 21, 2008 an offer restatement was submitted for SPSK asset at 14:42 which increased the available capability (AC) for the asset within the T-2 window for December 21, 2008 for HE 17. This restatement had the effect of increasing the AC value from 42 to 82 MW. At 15:20, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 82 MW to 103 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 21, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-255 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES NO NO Asset ID (if applicable): SPSK December 20, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 76 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 20, 2008 an offer restatement was submitted for SPSK asset at 21:31 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 23-24. This restatement had the effect of increasing the AC value from 42 to 84 MW for HE 23 and increasing the AC value from 0 to 84 for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 20, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE July 16, 2010

Signature Date:

Title:

Manager Investigations

Signature:

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-254 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO SPSK Self Report Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: December 20, 2008 This is the 75 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 20, 2008 an offer restatement was submitted for SPSK asset at 14:22 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 92 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 20, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Andert Kr Rob Spragins July 16, 2010 Signature Date: Signature:

Title:

Name:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-253 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions **SPSK** Self Report ☐ YES NO NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: December 20, 2008 This is the 74 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 20, 2008 an offer restatement was submitted for SPSK asset at 12:20 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 14-15. This restatement had the effect of increasing the AC value from 42 to 92 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transatcion e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for December 20, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE July 16, 2010 Signature Date: Signature:

Title:

Name:

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-252 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ⋈ NO Asset ID (if applicable): **SPSK** Self Report ☐ YES ISO Rule: 6.3.3 Date of Contravention: December 20, 2008 This is the 73 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 20, 2008 an offer restatement was submitted for SPSK asset at 10:14 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for December 20, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Title:

Name:

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-251 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 18, 2008 This is the 72 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 18, 2008 an offer restatement was submitted for SPSK asset at 19:21 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 21. This restatement had the effect of increasing the AC value from 0 to 41 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 18, 2008. AESO information request, response, and referral as applicable. 2. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-250 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 17, 2008 This is the 71 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 17, 2008 an offer restatement was submitted for SPSK asset at 16:27 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for December 17, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-249 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO Asset ID (if applicable): SPSK Self Report ISO Rule: 6.3.3 Date of Contravention: December 16, 2008 This is the 70 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 16, 2008 an offer restatement was submitted for SPSK asset at 14:12 which increased the available capability (AC) for the asset within the T-2 window for December 16, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 0 to 10 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 16, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-248 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: December 16, 2008 This is the 69 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 16, 2008 an offer restatement was submitted for SPSK asset at 06:57 which increased the available capability (AC) for the asset within the T-2 window for December 16, 2008 for HE 9. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 16, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: July 16, 2010 Signature Date:

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-247 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⋈ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: December 15, 2008 This is the 68 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 15, 2008 an offer restatement was submitted for SPSK asset at 18:22 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 20. This restatement had the effect of increasing the AC value from 17 to 48 MW. At 18:48, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 48 to 31 MW for HE 20. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 15, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	SIGNATURE	
Signature:	Maker Brian	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title;	Manager Investigations	

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-246 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 15, 2008 This is the 67 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 15, 2008 an offer restatement was submitted for SPSK asset at 13:34 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 16. This restatement had the effect of increasing the AC value from 0 to 50 MW. At 14:20, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 to 92 MW for HE 16. At 14:47, a third restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 92 MW to 50 MW for HE 16. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 15, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Motor Bara Rob Spragins Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-245 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 15, 2008 This is the 66 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 15, 2008 an offer restatement was submitted for SPSK asset at 11:32 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 14. This restatement had the effect of increasing the AC value from 21 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 15, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Rob Spragns Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-244 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 14, 2008 This is the 65 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 14, 2008 an offer restatement was submitted for SPSK asset at 05:09 which increased the available capability (AC) for the asset within the T-2 window for December 14, 2008 for HE 7-8. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 14, 2008. AESO information request, response, and referral as applicable. 2. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Asket Musq Rob Spregins Signature: Signature Date: July 16, 2010 Name:

Title:

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-243 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 13, 2008 This is the 64 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 13, 2008 an offer restatement was submitted for SPSK asset at 23:25 which increased the available capability (AC) for the asset within the T-2 window for December 14, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 13, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-242 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES ⋈ NO Asset ID (if applicable): SPSK ISO Rule: 6.3.3 Date of Contravention: December 13, 2008 This is the 63 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 13, 2008 an offer restatement was submitted for SPSK asset at 15:23 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 17-18. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 13, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.qhavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

**SIGNATURE** 

Title:

Signature: Name: Signature Date:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-241 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 13, 2008 This is the 62 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 13, 2008 an offer restatement was submitted for SPSK asset at 11:23 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 13-14. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 13, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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.

SIGNATURE

Title:

Signature Date:

July 16, 2010

Manager Investigations

Signature:

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-240 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 12, 2008 This is the 61 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 12, 2008 an offer restatement was submitted for SPSK asset at 23:43 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. **MATERIAL FACTS** The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 12, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-239 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 8, 2008 This is the 60 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 8, 2008 an offer restatement was submitted for SPSK asset at 15:58 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 18. This restatement had the effect of increasing the AC value from 88 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 8, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-238 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 8, 2008 This is the 59 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 8, 2008 an offer restatement was submitted for SPSK asset at 08:51 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 10-11. This restatement had the effect of increasing the AC value from 42 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 8, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-237 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 8, 2008 This is the 58 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 8, 2008 an offer restatement was submitted for SPSK asset at 06:47 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 9. This restatement had the effect of increasing the AC value from 42 to 83 MW. At 08:51, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 83 MW to 88 MW for HE 9. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 8, 2008. AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	When How	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-236 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 7, 2008 This is the 57 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 7, 2008 an offer restatement was submitted for SPSK asset at 16:32 which increased the available capability (AC) for the asset within the T-2 window for December 7, 2008 for HE 19. This restatement had the effect of increasing the AC value from 67 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 7, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@aibertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-235 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 7, 2008 This is the 56 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 7, 2008 an offer restatement was submitted for SPSK asset at 15:03 which increased the available capability (AC) for the asset within the T-2 window for December 7, 2008 for HE 18. This restatement had the effect of increasing the AC value from 42 to 67 MW. At 17:18, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 67 MW to 103 MW for HE 18. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for December 7, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market

Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Robert Kins	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-234 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 2, 2008 This is the 55 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 2, 2008 an offer restatement was submitted for SPSK asset at 17:10 which increased the available capability (AC) for the asset within the T-2 window for December 2, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 42 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for December 2, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-233 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: November 26, 2008 This is the 54 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 26, 2008 an offer restatement was submitted for SPSK asset at 22:46 which increased the available capability (AC) for the asset within the T-2 window for November 26, 2008 for HE 23-24. This restatement had the effect of increasing the AC value from 42 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for November 26, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Askert Kring Rob Spragins Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-232 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES NO NO Asset ID (if applicable): **SPSK** Self Report November 25, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 53 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 25, 2008 an offer restatement was submitted for SPSK asset at 19:46 which increased the available capability (AC) for the asset within the T-2 window for November 25, 2008 for HE 22. This restatement had the effect of increasing the AC value from 42 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for November 25, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-231 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES ⊠ NO Asset ID (if applicable): SPSK ISO Rule: 6.3.3 Date of Contravention: November 24, 2008 This is the 52 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 24, 2008 an offer restatement was submitted for SPSK asset at 23:44 which increased the available capability (AC) for the asset within the T-2 window for November 25, 2008 for HE 2. This restatement had the effect of increasing the AC value from 42 to 88 MW. At 00:04 on November 25, 2008, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 88 MW to 50 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset

On November 24, 2008 an offer restatement was submitted for SPSK asset at 23:44 which increased the available capability (AC) for the asset within the T-2 window for November 25, 2008 for HE 2. This restatement had the effect of increasing the AC value from 42 to 88 MW. At 00:04 on November 25, 2008, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 88 MW to 50 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- 1. AESO restatement data for SPSK asset for November 24, 2008 and November 25, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Robert Krian	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-230 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: November 24, 2008 This is the 51 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 24, 2008 an offer restatement was submitted for SPSK asset at 15:24 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for November 24, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Notal Ruay Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-229 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions **SPSK** Self Report YES ⊠ NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: November 22, 2008 This is the 50 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 22, 2008 an offer restatement was submitted for SPSK asset at 02:42 which increased the available capability (AC) for the asset within the T-2 window for November 22, 2008 for HE 4-5. This restatement had the effect of increasing the AC value from 45 to 76 MW for HE 4 and increasing the AC value from 45 to 87 for HE 5. At 03:38, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 87 MW to 75 MW for HE 5. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single

On November 22, 2008 an offer restatement was submitted for SPSK asset at 02:42 which increased the available capability (AC) for the asset within the T-2 window for November 22, 2008 for HE 4-5. This restatement had the effect of increasing the AC value from 45 to 76 MW for HE 4 and increasing the AC value from 45 to 87 for HE 5. At 03:38, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 87 MW to 75 MW for HE 5. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPSK asset for November 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Mat Kum	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-228 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: November 19, 2008 This is the 49 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 19, 2008 an offer restatement was submitted for SPSK asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for November 20, 2008 for HE 01. This restatement had the effect of increasing the AC value from 0 to 103 MW. At 23:30, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 103 MW to 42 MW for HE 01. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for November 19, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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

**SIGNATURE** 

Title:

Signature Date:

July 16, 2010

Manager Investigations

regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

Signature:

Name:

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-227 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⊠ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: November 17, 2008 This is the 48 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 17, 2008 an offer restatement was submitted for SPSK asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for November 17, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for November 17, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-226 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: November 5, 2008 This is the 47 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 5, 2008 an offer restatement was submitted for SPSK asset at 19:28 which increased the available capability (AC) for the asset within the T-2 window for November 5, 2008 for HE 22. This restatement had the effect of increasing the AC value from 0 to 45 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for November 5, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Nobert of progress

Signature Date:

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Signature: Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-225 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: November 4, 2008 This is the 46 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 4, 2008 an offer restatement was submitted for SPSK asset at 05:36 which increased the available capability (AC) for the asset within the T-2 window for November 4, 2008 for HE 8. This restatement had the effect of increasing the AC value from 87 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for November 4, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-224 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ⋈ NO Asset ID (if applicable): SPSK Self Report ☐ YES ISO Rule: 6.3.3 Date of Contravention: October 30, 2008 This is the 45 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On October 30, 2008 an offer restatement was submitted for SPSK asset at 23:51 which increased the available capability (AC) for the asset within the T-2 window for October 31, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 30, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-223 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 30, 2008 This is the 44 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 30, 2008 an offer restatement was submitted for SPSK asset at 18:37 which increased the available capability (AC) for the asset within the T-2 window for October 30, 2008 for HE 19-21. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 30, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-222 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: October 27, 2008 This is the 43 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 27, 2008 an offer restatement was submitted for SPSK asset at 03:35 which increased the available capability (AC) for the asset within the T-2 window for October 27, 2008 for HE 5. This restatement had the effect of increasing the AC value from 21 to 31 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for October 27, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-221 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: October 23, 2008 This is the 42 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On October 23, 2008 an offer restatement was submitted for SPSK asset at 00:34 which increased the available capability (AC) for the asset within the T-2 window for October 23, 2008 for HE 2-3. This restatement had the effect of increasing the AC value from 103 to 128 MW for HE 2 and increasing the AC value from 103 to 153 for HE 3. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. FINDINGS Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE West Types Rob Spragins

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-220 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⋈ NO Self Report Asset ID (if applicable): **SPSK** October 22, 2008 Date of Contravention: 6.3.3 ISO Rule: This is the 41 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On October 22, 2008 an offer restatement was submitted for SPSK asset at 21:19 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 24. This restatement had the effect of increasing the AC value from 66 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 22, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Aster Ages July 16, 2010 Signature Date: Signature:

Title:

Name:

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-219 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: SPSK Self Report ☐ YES ⊠ NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: October 22, 2008 This is the 40 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 22, 2008 an offer restatement was submitted for SPSK asset at 20:21 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 42 to 67 MW for HE 22 and increasing the AC value from 42 to 66 for HE 23. At 21:14, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 67 MW to 59 MW for HE 22 and decreasing the AC value from 66 to 58 MW for HE 23. A third restatement was submitted at 21:19 within the T-2 window that had the effect of increasing the AC value from 58 to 103 for HE 23. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of

#### **FINDINGS**

such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

settlement interval.

- 1. AESO restatement data for SPSK asset for October 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

### NOTICE

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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 30 days 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.

SIGNATURE			
Signature:	Robert My	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-218 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: October 22, 2008 This is the 39 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 22, 2008 an offer restatement was submitted for SPSK asset at 10:29 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 13. This restatement had the effect of increasing the AC value from 42 to 103 MW. At 11:45, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 103 MW to 95 MW for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a

## **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

settlement interval.

- AESO restatement data for SPSK asset for October 22, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### **DELIVERY OF PAYMENT**

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		SIGNATURE	
Signature:	Robert It ma	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-217 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 21, 2008 This is the 38 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 21, 2008 an offer restatement was submitted for SPSK asset at 01:16 which increased the available capability (AC) for the asset within the T-2 window for October 21, 2008 for HE 3-4. This restatement had the effect of increasing the AC value from 0 to 41 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 21, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days and no later than 45

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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.

		SIGNATURE	
Signature:	Robert Krin-	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-216 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPSK** Self Report ☐ YES M NO ISO Rule: 6.3.3 Date of Contravention: October 20, 2008 This is the 37 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 20, 2008 an offer restatement was submitted for SPSK asset at 23:47 which increased the available capability (AC) for the asset within the T-2 window for October 21, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 20, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca. NOTICE The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the Alberta Utilities Commission Act to

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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.

		SIGNATURE	
Signature:	herth ya-	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-215 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 19, 2008 This is the 36 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 19, 2008 an offer restatement was submitted for SPSK asset at 23:16 which increased the available capability (AC) for the asset within the T-2 window for October 20, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 43 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 19, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	What Born	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-214 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report YES M NO ISO Rule: 6.3.3 Date of Contravention: October 18, 2008 This is the 35 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 18, 2008 an offer restatement was submitted for SPSK asset at 13:45 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 16. This restatement had the effect of increasing the AC value from 103 to 153 MW. At 13:50, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 153 MW to 120 MW for HE 16, ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 18, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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

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.

penalty.

		SIGNATURE	
Signature:	Martin	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-213 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 18, 2008 This is the 34 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 18, 2008 an offer restatement was submitted for SPSK asset at 11:27 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 13-14. This restatement had the effect of increasing the AC value from 30 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 18, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-212 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 17, 2008 This is the 33 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 17, 2008 an offer restatement was submitted for SPSK asset at 22:09 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 41 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 17, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-211 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES NO NO Asset ID (if applicable): **SPSK** ISO Rule: 6.3.3 Date of Contravention: October 13, 2008 This is the 32 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 13, 2008 an offer restatement was submitted for SPSK asset at 16:50 which increased the available capability (AC) for the asset within the T-2 window for October 13, 2008 for HE 19. This restatement had the effect of increasing the AC value from 103 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 13, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-210 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: October 9, 2008 This is the 31 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 9, 2008 an offer restatement was submitted for SPSK asset at 18:17 which increased the available capability (AC) for the asset within the T-2 window for October 9 2008 for HE 20. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 9, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Manager Investigations

Name:

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-209 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Self Report ☐ YES ⊠ NO Asset ID (if applicable): SPSK October 8, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 30 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 8, 2008 an offer restatement was submitted for SPSK asset at 23:26 which increased the available capability (AC) for the asset within the T-2 window for October 9 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 8, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature: Name: July 16, 2010

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-208 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⊠ NO Asset ID (if applicable): SPSK Self Report ISO Rule: 6.3.3 Date of Contravention: October 8, 2008 This is the 29 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 8, 2008 an offer restatement was submitted for SPSK asset at 18:27 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 21. This restatement had the effect of increasing the AC value from 25 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 8, 2008. AESO information request, response, and referral as applicable. 2. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE

Title:

Signature: Name: Signature Date:

July 16, 2010

### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-207 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⊠ NO Asset ID (if applicable): SPSK Self Report ISO Rule: 6.3.3 Date of Contravention: October 8, 2008 This is the 28 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 8, 2008 an offer restatement was submitted for SPSK asset at 16:36 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. FINDINGS Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 8, 2008. AESO information request, response, and referral as applicable. 2.

- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009

## **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	Aster Ama	Signature Date:	July 16, 2010
Name:	Rob Spragips	Title:	Manager Investigations

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-206 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): SPSK Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: October 7, 2008 This is the 27 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 7, 2008 an offer restatement was submitted for SPSK asset at 13:21 which increased the available capability (AC) for the asset within the T-2 window for October 7, 2008 for HE 15. This restatement had the effect of increasing the AC value from 42 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 7, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-205 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions SPSK Asset ID (if applicable): Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 5, 2008 This is the 26 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 5, 2008 an offer restatement was submitted for SPSK asset at 07:03 which increased the available capability (AC) for the asset within the T-2 window for October 5, 2008 for HE 9. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 5, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE**

Signature Date:

Title:

Signature: Name: July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-204 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES Asset ID (if applicable): SPSK Self Report ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 4, 2008 This is the 25 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 4, 2008 an offer restatement was submitted for SPSK asset at 13:37 which increased the available capability (AC) for the asset within the T-2 window for October 4, 2008 for HE 16. This restatement had the effect of increasing the AC value from 65 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 4, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-203 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⊠ NO Asset ID (if applicable): **SPSK** Self Report ISO Rule: 6.3.3 Date of Contravention: October 3, 2008 This is the 24 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 3, 2008 an offer restatement was submitted for SPSK asset at 04:40 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 7. This restatement had the effect of increasing the AC value from 0 to 90 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 3, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-202 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions SPSK Asset ID (if applicable): Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 3, 2008 This is the 23 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 3, 2008 an offer restatement was submitted for SPSK asset at 04:31 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 6. This restatement had the effect of increasing the AC value from 0 to 90 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 3, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Title:

Manager Investigations

Name:

# NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-201 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ⊠ NO Asset ID (if applicable): **SPSK** Self Report ☐ YES ISO Rule: 6.3.3 Date of Contravention: October 3, 2008 This is the 22 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 3, 2008 an offer restatement was submitted for SPSK asset at 00:58 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 3. This restatement had the effect of increasing the AC value from 25 to 43 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 3, 2008. AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** July 16, 2010 Signature: Signature Date:

Title:

Name:

# NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-200 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPSK** Self Report ☐ YES M NO ISO Rule: 6.3.3 Date of Contravention: October 2, 2008 This is the 21 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 2, 2008 an offer restatement was submitted for SPSK asset at 22:23 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 2, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Most Spragins

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-199 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES NO NO Asset ID (if applicable): **SPSK** 6.3.3 Date of Contravention: October 2, 2008 ISO Rule: This is the 20 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On October 2, 2008 an offer restatement was submitted for SPSK asset at 22:17 which increased the available capability (AC) for the asset within the T-2 window for October 2, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for October 2, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Name:

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-198 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: September 26, 2008 This is the 19 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 26, 2008 an offer restatement was submitted for SPSK asset at 05:55 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for September 26, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-197 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES ⋈ NO Asset ID (if applicable): **SPSK** ISO Rule: 6.3.3 Date of Contravention: September 26, 2008 This is the 18 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 26, 2008 an offer restatement was submitted for SPSK asset at 00:49 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for September 26, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora, anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-196 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: September 23, 2008 This is the 17 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 23, 2008 an offer restatement was submitted for SPSK asset at 00:50 which increased the available capability (AC) for the asset within the T-2 window for September 23, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for September 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-195 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: September 3, 2008 This is the 16 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 3, 2008 an offer restatement was submitted for SPSK asset at 10:41 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 13. This restatement had the effect of increasing the AC value from 50 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for September 3, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-194 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: September 3, 2008 This is the 15 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 3, 2008 an offer restatement was submitted for SPSK asset at 07:06 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 9-10. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for September 3, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-193 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: September 2, 2008 This is the 14 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 2, 2008 an offer restatement was submitted for SPSK asset at 15:24 which increased the available capability (AC) for the asset within the T-2 window for September 2, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for September 2, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-192 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions **SPSK** Self Report ☐ YES NO NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: August 29, 2008 This is the 13 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 29, 2008 an offer restatement was submitted for SPSK asset at 16:39 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 51 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 29, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-191 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES ⊠ NO Asset ID (if applicable): SPSK August 29, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 12 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 29, 2008 an offer restatement was submitted for SPSK asset at 14:27 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 17. This restatement had the effect of increasing the AC value from 0 to 50 MW. At 15:24, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 50 MW

On August 29, 2008 an offer restatement was submitted for SPSK asset at 14:27 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 17. This restatement had the effect of increasing the AC value from 0 to 50 MW. At 15:24, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 MW to 0 MW for HE 17. At 15:25, a third restatement was submitted within the T-2 window that had the effect of increasing the AC value from 0 MW to 13 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### **FINDINGS**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

#### MATERIAL FACTS

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

- AESO restatement data for SPSK asset for August 29, 2008.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

#### **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

SIGNATURE			
Signature:	Wet It ma	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-190 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES Asset ID (if applicable): **SPSK** ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 28, 2008 This is the 11 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 28, 2008 an offer restatement was submitted for SPSK asset at 22:47 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 28, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE July 16, 2010 Signature: Signature Date:

Title:

Name:

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-189 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions **SPSK** Self Report ☐ YES ⊠ NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: August 28, 2008 This is the 10 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 28, 2008 an offer restatement was submitted for SPSK asset at 16:31 which increased the available capability (AC) for the asset within the T-2 window for August 28, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 28, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-188 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 27, 2008 This is the 9 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 27, 2008 an offer restatement was submitted for SPSK asset at 22:07 which increased the available capability (AC) for the asset within the T-2 window for August 28, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for August 27, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

July 16, 2010

Manager Investigations

Signature:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-187 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 26, 2008 This is the 8 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 26, 2008 an offer restatement was submitted for SPSK asset at 10:38 which increased the available capability (AC) for the asset within the T-2 window for August 26, 2008 for HE 13. This restatement had the effect of increasing the AC value from 60 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPSK asset for August 26, 2008. AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE**

Signature Date:

Title:

Signature: Name: July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-186 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 23, 2008 This is the 7 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 23, 2008 an offer restatement was submitted for SPSK asset at 07:15 which increased the available capability (AC) for the asset within the T-2 window for August 23, 2008 for HE 10. This restatement had the effect of increasing the AC value from 50 to 60 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 23, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-185 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES M NO ISO Rule: 6.3.3 Date of Contravention: August 22, 2008 This is the 6 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 22, 2008 an offer restatement was submitted for SPSK asset at 08:28 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 10-11. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 22, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE July 16, 2010 Signature Date: Signature:

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Name:

## **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-184 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPSK Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 14, 2008 This is the 5 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 14, 2008 an offer restatement was submitted for SPSK asset at 23:58 which increased the available capability (AC) for the asset within the T-2 window for August 15, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 14, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: July 16, 2010 Signature Date:

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-183 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: August 12, 2008 This is the 4 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On August 12, 2008 an offer restatement was submitted for SPSK asset at 19:03 which increased the available capability (AC) for the asset within the T-2 window for August 12, 2008 for HE 22. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for August 12, 2008. AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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

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Signature Date:

July 16, 2010

Manager Investigations

regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

Signature:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-182 MSA File Number: Specified Penalty \$ 1,500 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES M NO July 30, 2008 ISO Rule: 6.3.3 Date of Contravention: This is the 3 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On July 30, 2008 an offer restatement was submitted for SPSK asset at 13:34 which increased the available capability (AC) for the asset within the T-2 window for July 30, 2008 for HE 14-16. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for July 30, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. **SIGNATURE** July 16, 2010 Signature: Signature Date:

Title.

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-181 Specified Penalty \$ 1,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): SPSK Self Report ☐ YES M NO ISO Rule: 6.3.3 Date of Contravention: July 7, 2008 This is the 2 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On July 7, 2008 an offer restatement was submitted for SPSK asset at 18:14 which increased the available capability (AC) for the asset within the T-2 window for July 7, 2008 for HE 20-21. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. FINDINGS Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for July 7, 2008. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. 3. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora

Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

### NOTICE

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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.

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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.

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Signature:	AHAT ma	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-180 Specified Penalty \$ 500 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPSK** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: July 1, 2008 This is the 1 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On July 1, 2008 an offer restatement was submitted for SPSK asset at 04:10 which increased the available capability (AC) for the asset within the T-2 window for July 1, 2008 for HE 6. This restatement had the effect of increasing the AC value from 0 to 153 MW. At 04:34, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 153 MW to 109 MW for HE 6. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPSK asset for July 1, 2008. AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

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Signature:	Mat & mo	Signature Date:	July 16, 2010
Name:	Rob Spragins	O Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-332 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: April 2, 2009 This is the 24 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS**

On April 2, 2009 an offer restatement was submitted for SPXA asset at 16:17 which increased the available capability (AC) for the asset within the T-2 window for April 2, 2009 for HE 18-19. This restatement had the effect of increasing the AC value from 0 to 60 MW for HE 18-19. At 17:40, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 60 MW to 35 MW for HE 18 and decreasing the AC value from 60 to 36 for HE 19. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval.

#### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

- AESO restatement data for SPXA asset for April 2, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

# **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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.

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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.

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Signature:	MANTINA	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-331 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES NO Asset ID (if applicable): SPXA 6.3.3 Date of Contravention: March 12, 2009 ISO Rule: This is the 23 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On March 12, 2009 an offer restatement was submitted for SPXA asset at 11:47 which increased the available capability (AC) for the asset within the T-2 window for March 12, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 35 MW. At 11:56, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 35 MW to 22 MW for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC.

#### **FINDINGS**

Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

settlement interval.

- 1. AESO restatement data for SPXA asset for March 12, 2009.
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

### **DELIVERY OF PAYMENT**

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### NOTICE

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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 30 days 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.

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Signature:	Rafeet 47 us	Signature Date:	July 16, 2010	
Name:	Rob Spragins	Title:	Manager Investigations	

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-330 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: January 15, 2009 This is the 22 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 15, 2009 an offer restatement was submitted for SPXA asset at 06:41 which increased the available capability (AC) for the asset within the T-2 window for January 15, 2009 for HE 9. This restatement had the effect of increasing the AC value from 0 to 33 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for January 15, 2009. AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

## **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-329 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: January 9, 2009 This is the 21 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On January 9, 2009 an offer restatement was submitted for SPXA asset at 13:57 which increased the available capability (AC) for the asset within the T-2 window for January 9, 2009 for HE 16. This restatement had the effect of increasing the AC value from 0 to 75 MW. At 15:01, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 75 MW to 35 MW for HE 16. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for January 9, 2009. AESO information request, response, and referral as applicable. 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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

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Title:

Signature Date:

July 16, 2010

Manager Investigations

regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

Rob Spragins

Signature:

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-328 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: December 30, 2008 This is the 20 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 30, 2008 an offer restatement was submitted for SPXA asset at 22:50 which increased the available capability (AC) for the asset within the T-2 window for December 31, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for December 30, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

## **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-327 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 24, 2008 Date of Referral/Self Report: This is the 19 contravention by this asset for this rule within a rolling 12 N/A month period. **EVENT DETAILS** On December 24, 2008 an offer restatement was submitted for SPXA asset at 05:51 which increased the available capability (AC) for the asset within the T-2 window for December 24, 2008 for HE 7-8. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 24 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

Rob Spragins

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-326 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 24, 2008 This is the 18 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 24, 2008 an offer restatement was submitted for SPXA asset at 01:04 which increased the available capability (AC) for the asset within the T-2 window for December 24, 2008 for HE 3. This restatement had the effect of increasing the AC value from 0 to 70 MW. At 01:12, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 70 to 0 MW for HE 3. At 01:45 a third restatement was submitted within the T-2 window that had the effect of increasing the AC value from 0 to 35 MW for HE 3. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for December 24 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009 **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 MSA File Number: 2009-025-325 Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ⊠ NO Asset ID (if applicable): SPXA Self Report ☐ YES ISO Rule: 6.3.3 Date of Contravention: December 20, 2008 This is the 17 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 20, 2008 an offer restatement was submitted for SPXA asset at 00:32 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 3. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 20 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 2009-025-324 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Self Report ☐ YES ⋈ NO Asset ID (if applicable): SPXA 6.3.3 Date of Contravention: December 18, 2008 ISO Rule: This is the 16 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 18, 2008 an offer restatement was submitted for SPXA asset at 15:17 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 18, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009 **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-323 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: **SPXA** Self Report ☐ YES ⊠ NO Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: December 18, 2008 This is the 15 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 18, 2008 an offer restatement was submitted for SPXA asset at 07:23 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 9. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 18, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

Signature:

Name:

July 16, 2010

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-322 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⋈ NO SPXA Self Report Asset ID (if applicable): Date of Contravention: December 17, 2008 6.3.3 ISO Rule: This is the 14 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 17, 2008 an offer restatement was submitted for SPXA asset at 12:39 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 15. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 17, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora, anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature Date: July 16, 2010 Signature:

Title:

Name:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-321 Specified Penalty MSA File Number: \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⋈ NO Self Report SPXA Asset ID (if applicable): December 15, 2008 Date of Contravention: ISO Rule: 6.3.3 This is the 13 contravention by this asset for this rule within a rolling 12 N/A Date of Referral/Self Report: month period. **EVENT DETAILS** On December 15, 2008 an offer restatement was submitted for SPXA asset at 07:09 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 15, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE July 16, 2010 Signature Date: Signature:

Title:

Name:

## NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-320 MSA File Number: Specified Penalty \$ 2,000 Amount: NorthPoint Energy Solutions Market Participant Name: Asset ID (if applicable): **SPXA** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: December 11, 2008 This is the 12 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 11, 2008 an offer restatement was submitted for SPXA asset at 07:38 which increased the available capability (AC) for the asset within the T-2 window for December 11, 2008 for HE 9-10. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 11, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

		SIGNATURE	
Signature:	MANT ME	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-319 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report YES NO NO ISO Rule: 6.3.3 Date of Contravention: December 10, 2008 This is the 11 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 10, 2008 an offer restatement was submitted for SPXA asset at 10:30 which increased the available capability (AC) for the asset within the T-2 window for December 10, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transatcion e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for December 10, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 6. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-318 MSA File Number: Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES ⊠ NO Asset ID (if applicable): **SPXA** Self Report 6.3.3 Date of Contravention: December 10, 2008 ISO Rule: This is the 10 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 10, 2008 an offer restatement was submitted for SPXA asset at 05:59 which increased the available capability (AC) for the asset within the T-2 window for December 10, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 40 MW. At 07:09, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 40 to 35 MW for HE 8. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC.

### **FINDINGS**

Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

### MATERIAL FACTS

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

settlement interval.

- 1. AESO restatement data for SPXA asset for December 10, 2008
- 2. AESO information request, response, and referral as applicable.
- 3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
- 4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
- 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
- NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

## **DELIVERY OF PAYMENT**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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.

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Signature:	attenth we	Signature Date:	July 16, 2010
Name:	Rob Spragins	Title:	Manager Investigations

## NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-317 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions ☐ YES Asset ID (if applicable): **SPXA** Self Report ⊠ NO ISO Rule: 6.3.3 December 4, 2008 Date of Contravention: This is the 9 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On December 4, 2008 an offer restatement was submitted for SPXA asset at 14:30 which increased the available capability (AC) for the asset within the T-2 window for December 4, 2008 for HE 17. This restatement had the effect of increasing the AC value from 65 to 70 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for December 4, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE

Signature Date:

Title:

July 16, 2010

Manager Investigations

Signature:

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-316 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: November 27, 2008 This is the 8 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 27, 2008 an offer restatement was submitted for SPXA asset at 19:22 which increased the available capability (AC) for the asset within the T-2 window for November 27, 2008 for HE 21-22. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for November 27, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-315 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: November 27, 2008 This is the 7 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 27, 2008 an offer restatement was submitted for SPXA asset at 16:55 which increased the available capability (AC) for the asset within the T-2 window for November 27, 2008 for HE 18-19. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for November 27, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Name:

Rob Spragins

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-314 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report ☐ YES NO ISO Rule: 6.3.3 Date of Contravention: November 5, 2008 This is the 6 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On November 5, 2008 an offer restatement was submitted for SPXA asset at 16:32 which increased the available capability (AC) for the asset within the T-2 window for November 5, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for November 5, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

Rob Spragins

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-313 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): **SPXA** Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: October 7, 2008 This is the 5 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 7, 2008 an offer restatement was submitted for SPXA asset at 20:56 which increased the available capability (AC) for the asset within the T-2 window for October 7, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for October 7, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 5. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. **SIGNATURE** Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

#### **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-312 Specified Penalty \$ 2,000 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report ☐ YES ⋈ NO ISO Rule: 6.3.3 Date of Contravention: October 7, 2008 This is the 4 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On October 7, 2008 an offer restatement was submitted for SPXA asset at 15:54 which increased the available capability (AC) for the asset within the T-2 window for October 7, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for October 7, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. DELIVERY OF PAYMENT Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

#### **NOTICE OF SPECIFIED PENALTY** Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-311 Specified Penalty \$ 1,500 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report ☐ YES NO NO ISO Rule: 6.3.3 Date of Contravention: September 18, 2008 This is the 3 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 18, 2008 an offer restatement was submitted for SPXA asset at 12:11 which increased the available capability (AC) for the asset within the T-2 window for September 18, 2008 for HE 14-15. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: AESO restatement data for SPXA asset for September 18, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. 6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010 Name:

Title:

Manager Investigations

Rob Spragins

#### NOTICE OF SPECIFIED PENALTY Payment Due Date: August 16, 2010 Date of Issue: July 16, 2010 2009-025-310 MSA File Number: Specified Penalty \$ 1,000 Amount: NorthPoint Energy Solutions Market Participant Name: ☐ YES ⋈ NO **SPXA** Self Report Asset ID (if applicable): ISO Rule: 6.3.3 Date of Contravention: September 16, 2008 This is the 2 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 16, 2008 an offer restatement was submitted for SPXA asset at 23:02 which increased the available capability (AC) for the asset within the T-2 window for September 17, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 75 MW. At 23:51, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 75 MW to 35 MW for HE 1. At 01:01 on September 17, 2008, a third restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 75 MW to 35 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for September 16, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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 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. SIGNATURE July 16, 2010 Signature Date: Signature:

Name:

Manager Investigations

#### NOTICE OF SPECIFIED PENALTY Date of Issue: July 16, 2010 Payment Due Date: August 16, 2010 MSA File Number: 2009-025-309 Specified Penalty \$ 500 Amount: Market Participant Name: NorthPoint Energy Solutions Asset ID (if applicable): SPXA Self Report ☐ YES ⊠ NO ISO Rule: 6.3.3 Date of Contravention: September 3, 2008 This is the 1 contravention by this asset for this rule within a rolling 12 Date of Referral/Self Report: N/A month period. **EVENT DETAILS** On September 3, 2008 an offer restatement was submitted for SPXA asset at 22:41 which increased the available capability (AC) for the asset within the T-2 window for September 4, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheelthrough interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offerred two hours before the start of a settlement interval. **FINDINGS** Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3. MATERIAL FACTS The material facts relied upon by the MSA include the following: 1. AESO restatement data for SPXA asset for September 3, 2008 AESO information request, response, and referral as applicable. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009. 5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009. **DELIVERY OF PAYMENT** Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.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 30 days 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. SIGNATURE Signature: Signature Date: July 16, 2010

Title:

Manager Investigations

#500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

July 23, 2009

Delivered via e-mail to: theriault.marc@syncrude.com

Syncrude Canada Ltd. P.O. Bag 4009, M.D. 0019 Fort McMurray, Alberta T9H 3L1

**Attention:** Mr. Marc Theriault, Vice-President Production

Dear Mr. Theriault:

**Re:** MSA File # 2009-040

Contravention of ISO rule 6.6 – Notice of Specified Penalty

**SCL1 – March 02, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by Syncrude #1 (SCL1) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On March 02, 2009 the SCL1 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 19:07 and ending at approximately 22:07 at variances of up to 38 MW. Syncrude indicated that there were no mitigating circumstances, affecting the Syncrude power panel operator's ability to either submit a new restatement, or contact the system controller during the relevant period.

### **Process**

The AESO referred this event to the MSA on June 15, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your

organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# <u>Findings</u>

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and net to grid generation data for the SCL1 asset on March 02, 2009.
- 2. AESO Information Request to Syndrude Canada Ltd. dated May 11, 2009
- 3. Syndrude Canada LTD. June 4, 2009 response to AESO information request.
- 4. AESO letter to Syndrude Canada Ltd dated June 15, 2009 notifying the referral of the matter to the MSA
- 5. MSA e-mail communication to Syncrude Canada Ltd dated July 8, 2009 requesting confirmation that Syncrude has no additional information to provide.
- 6. Syncrude Canada Ltd e-mail communication to MSA dated July 15, 2009 indicating no further information to add.

## **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance of 25 to less than 50 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$7,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than August 24, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

July 15, 2009

Delivered via e-mail to: daryl.nichol@alpac.ca

Alberta Pacific Forest Ind. Inc. P.O. Box 8000 Boyle, Alberta TOA OMO

Attention: Daryl Nichol: V.P. Pulp

Dear Mr. Nichol:

**Re:** MSA File # 2009-032

**Contravention of ISO rule 3.5.3 – Notice of Specified Penalty** 

**AFG1 – February 5, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the AFG1 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

From February 3<sup>rd</sup> – 7<sup>th</sup>, 2009 there was a problem with a conductor on the tie line preventing AFG1 from exporting energy to the AIES. The System controller sent 5 dispatches for AFG1 during HE 1 for February 5, 2009, all of which timed out. During HE-HE24 on February 5 the available capability declaration for AFG1 was 6 MW.

### **Process**

The AESO referred this event to the MSA on June 3, 2009 as a suspected contravention of ISO rules 3.5.3 and OPP 102, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rules 3.5.3. In this case, the MSA is not pursuing a separate penalty in respect of OPP 102.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC) and dispatch data for the AFG1 asset on February 5, 2009.
- 2. AESO Information Request to Alberta Pacific Forest Ind. Inc. dated March 25, 2009
- 3. Alberta Pacific Forest Ind. Inc. April 16, 2009 response to AESO information request.
- 4. AESO letter to Alberta Pacific Forest Ind. Inc. dated June 3, 2009 notifying the referral of the matter to the MSA.
- 5. Supplemental information provided by Alberta Pacific Forest Ind. Inc. to the MSA via email communications dated June 8, 2009 and June 17, 2009.

### **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.3. by this asset since July 1, 2008. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than August 14, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 published notice, the MSA does not intend to make public this notice of specified penalty on the basis that this event constitutes the first contravention of ISO rule 3.5.3 within the rolling 12 month period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

July 15, 2009

Delivered via e-mail to: adcormie@hydro.mb.ca

Manitoba Hydro 820 Taylor Avenue, Box 815 Winnipeg, MB, R2C 2P4

**Attention:** Mr. David Cormie, Division Manager – Power Sales & Operations

Dear Mr. Cormie:

**Re:** MSA File # 2009-034

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

MASK – March 30, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the Manitoba Hydro MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

### **Event**

On March 30, 2009 an offer restatement was made for the MASK asset which increased the available capability for the asset within the T-2 window. While the inability to procure transmission is an acceptable operational reason for reducing the energy volume stated in an import offer (export bid) within T-2, there is no allowance within the ISO rules for increasing the energy volume of an import offer (export bid) inside of T-2 (unless it is to restore energy previously reduced in T-2 due to a transmission constraint). In a letter to the AESO dated May 25, 2009, and in e-mail communication to the MSA dated July 14, 2009, Manitoba Hydro indicated that this contravention of ISO market rules was a result of human error.

### **Process**

The AESO referred this event to the MSA on June 4, 2009 as a suspected contravention of ISO rules 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC) and T-2 Restatement data
- 2. AESO Information Request to Manitoba Hydro dated May 11, 2009
- 3. Manitoba Hydro May 25, 2009 response to AESO information request
- 4. AESO letter to Manitoba Hydro dated June 4, 2009 notifying the referral of the matter to the MSA
- 5. Manitoba Hydro e-mail communications to the MSA dated July 14, 2009

### **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset since July 1, 2008. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

# Specified Penalty Due Date

The penalty is due and payable no later than August 14, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 published notice, the MSA is not intending to make public this notice of specified penalty on the basis that this event constitutes the first contravention of ISO rule 6.3.3 within the 12 month rolling period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

July 15, 2009

Delivered via e-mail to: DHazelton@canhydro.com

Canadian Gas & Electric Inc. 8701 – 108 Street Grande Prairie, Alberta T8V 4C5

**Attention:** Mr. Doug Hazelton, Division Manager

Dear Mr. Hazelton:

**Re:** MSA File # 2009-037

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**GPEC – March 19, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by Grande Prairie Ecopower (GPEC) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On March 19, 2009 the GPEC asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 00:00 and ending at approximately 01:50 at variances of up to 10 MW. A dispatch of 27 MW for effect HE1 was accepted at approximately 23:42 on March 18, 2009 for the GPEC asset. During HE1 and HE2 the GPEC asset generated between 17 and 21 MW while it was dispatched to 27 MW.

### **Process**

The AESO referred this event to the MSA on June 4, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# <u>Findings</u>

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC) and dispatch data for the GPEC asset on March 19, 2009.
- 2. AESO Information Request to Canadian Gas & Electric Inc. dated April 27, 2009
- 3. Canadian Gas & Electric Inc. April 29, 2009 response to AESO information request.
- 4. AESO letter to Canadian Gas & Electric Inc. dated June 4, 2009 notifying the referral of the matter to the MSA
- 5. Canadian Gas & Electric Inc. e-mail communication to the MSA dated July 9, 2009 confirming no further information to add.

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance of greater than 5 to less than 15 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than August 14, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

### Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 published notice, the MSA is not intending to make public this notice of specified penalty on the basis that this event constitutes the first contravention of ISO rule 6.6 within the period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghayami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

August 12, 2009

Delivered via e-mail to: <u>ken\_kunz@transcanada.com</u>

ASTC Power Partnership c/o TransCanada Energy Ltd.  $450 - 1^{st}$  Street S.W. Calgary, AB T2P 5H1

Attention: Ken Kunz, Vice-President Western Power

Dear Mr. Kunz:

**Re:** MSA File # 2009-041

**Contravention of ISO rule 3.5.3 – Notice of Specified Penalty** 

**SD3 – March 13, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the SD3 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On March 13, 2009 an energy restatement was submitted for the Sundance #3 (SD3) asset at 10:02 having impact on offered volumes for HE 11-13. This restatement had the effect of redistributing 28 MW from block 0 to block 1 for each of HE 11, 12, and 13. ISO rule 3.5.3 states that an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

### **Process**

The AESO referred this event to the MSA on June 15, 2009 as a suspected contravention of ISO rule 3.5.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the SD3 asset for March 13, 2009.
- 2. AESO Information Request to ASTC Power Partnership dated May 21, 2009
- 3. ASTC Power Partnership June 5, 2009 response to AESO information request.
- 4. AESO letter to ASTC Power Partnership dated June 15, 2009 notifying the referral of the matter to the MSA.
- 5. E-mail communication from TransCanada to the MSA dated July 9, 2009 indicating no further information to add.

## Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.3. by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than September 11, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Peter Karl - AltaGas

Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

August 12, 2009

Delivered via e-mail to: alex\_pourbaix@transcanada.com

ASTC Power Partnership c/o TransCanada Energy Ltd.  $450 - 1^{st}$  Street S.W. Calgary, AB T2P 5H1

Attention: Alex Pourbaix, President

Dear Mr. Pourbaix:

**Re:** MSA File # 2009-042

**Contravention of ISO rule 3.5.3 – Notice of Specified Penalty** 

**SD3 – March 13, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the SD3 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On March 13, 2009 an energy restatement was submitted for the Sundance #3 (SD3) asset at 15:04 having impact on offered volumes for HE 16-18. This restatement had the effect of redistributing 5 MW from block 0 to block 1 for each of HE 16, 17, and 18. ISO rule 3.5.3 states that an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

### **Process**

The AESO referred this event to the MSA on June 15, 2009 as a suspected contravention of ISO rule 3.5.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the SD3 asset for March 13, 2009.
- 2. AESO Information Request to ASTC Power Partnership dated May 21, 2009
- 3. ASTC Power Partnership June 5, 2009 response to AESO information request.
- 4. AESO letter to ASTC Power Partnership dated June 15, 2009 notifying the referral of the matter to the MSA.
- 5. E-mail communication from TransCanada to the MSA dated July 9, 2009 indicating no further information to add.

### **Specified Penalty**

The MSA understands that this event constitutes the second contravention of ISO rule 3.5.3. by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 3.5.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than September 11, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Richard Alexander - AltaGas

Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-043

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

**MASK – April 1, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 1, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 11:04 which increased the available capability (AC) for the asset within the T-2 window for HE 13 – 14. This restatement had the effect of increasing the AC value from 0 to 35 MW and from 0 to 36 MW for HE 13 and HE 14 respectively. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts

of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

### **Process**

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for April 1, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 8, 2009
- 3. Manitoba Hydro June 16, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated June 25, 2009 notifying the referral of the matter to the MSA.

### **Specified Penalty**

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: David Cormie – Manitoba Hydro Cheryl Sanclemente – Manitoba Hydro Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

August 18, 2009

Delivered via e-mail to: rod.crockford@encana.com

EnCana Corporation. 1800, 855 – 2<sup>nd</sup> Street SW P.O. Box 2850 Calgary, Alberta T2P 2S5

Attention: Mr. Rod Crockford

Dear Mr. Crockford:

**Re:** MSA File # 2009-046

Contravention of ISO rule 6.6 – Notice of Specified Penalty

EC01 – April 23, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by EnCana Cavalier (EC01) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On April 23, 2009 the EC01 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 11:17 and ending at approximately 12:20 at variances of up to 20 MW.

### **Process**

The AESO referred this event to the MSA on June 26, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue.

Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and net to grid generation data for the EC01 asset on April 23, 2009.
- 2. AESO Information Request to EnCana Corporation dated June 19, 2009
- 3. EnCana Corporation June 23, 2009 response to AESO information request.
- 4. AESO DVN clarification email to EnCana Corporation dated June 26, 2009.
- 5. EnCana Corporation June 26, 2009 response to AESO DVN clarification email.
- 6. AESO letter to EnCana Corporation June 26, 2009 notifying the referral of the matter to the MSA
- 7. EnCana Corporation August 17, 2009 e-mail communication to MSA confirming no further information to add.

## **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance of 15 to less than 25 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$5,000 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than September 17, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

October 21, 2009

Delivered via e-mail to: Michael\_macphee@nexeninc.com; Rod.Crockford@encana.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7 Encana Corporation 1800, 855 – 2<sup>nd</sup> St. SW Calgary, Alberta T2P 2S5

Attention: Mr. Michael MacPhee, Nexen Inc.

Mr. Rod Crockford, Encana Corporation

Dear Sirs:

**Re:** MSA File # 2009-051

Contravention of ISO rule 3.5.5 – Notice of Specified Penalty

NX01 – April 6, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Balzac (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 6, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 04:48 which decreased the DDS offer from 72 MW to 62 MW for the asset within the T-2 window for April 6, 2009 HE 6. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an "acceptable operational reason".

#### **Process**

The AESO referred this event to the MSA on August 6, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the NX01 asset for April 6, 2009.
- 2. AESO Information Request to Nexen Inc. and Encana Corp. dated June 30, 2009.
- 3. Nexen Inc. July 15, 2009 response to AESO information request.
- 4. Encana Corp. August 6, 2009 response to AESO information request.
- 5. AESO letter to Nexen Inc. and Encana Corp. dated August 6, 2009 notifying the referral of the matter to the MSA.

## **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.5.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 20, 2009.

### **Delivery of Payment**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

## Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Susan Schulli – Nexen

Ed Hucman - Nexan Marie Gallant - Encana Cora Anderson – AUC Darin Lowther – AUC Sabi Ghavami – AUC

(403) 705-3181 Tel (403) 232-8343 Fax

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

Re: **MSA File # 2009-055** 

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

MASK – May 20, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the Alberta Utilities Commission Act (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### Event

On May 20, 2009 the offer Available Capability (AC) value for Manitoba Hydro import (MASK) asset was 123 MW for HE 24. For this same hour, the sum of the import e-tag quantities was 103 MW which is a discrepancy of -20 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

The AESO referred this event to the MSA on August 12, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for May 20, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
- 3. Manitoba Hydro August 5, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated August 12, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the fourth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

## Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Vic Schroeder – Manitoba Hydro David Cormie – Manitoba Hydro

Cheryl Sanclemente – Manitoba Hydro

Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

September 30, 2009

Delivered via e-mail to: <a href="mailto:rbbrennan@hydro.mb.ca">rbbrennan@hydro.mb.ca</a>

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-056

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

MASK - May 21, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

## **Event**

On May 21, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 05:12 which increased the available capability (AC) for the asset within the T-2 window for HE 6. This restatement had the effect of increasing the AC value from 0 to 36 MW for HE 6. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance

within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

# **Process**

The AESO referred this event to the MSA on August 14, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for May 21, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
- 3. Manitoba Hydro July 9, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated August 14, 2009 notifying the referral of the matter to the MSA.

### Specified Penalty

The MSA understands that this event constitutes the seventh contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 2, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Vic Schroeder – Manitoba Hydro David Cormie – Manitoba Hydro

Cheryl Sanclemente – Manitoba Hydro

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-058

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty MASK – April 7, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 6, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 22:40 which increased the available capability (AC) for the asset within the T-2 window for April 7, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 36 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no

allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

# **Process**

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for April 6 and 7, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 8, 2009
- 3. Manitoba Hydro June 16, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated June 25, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the third contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: David Cormie – Manitoba Hydro Cheryl Sanclemente – Manitoba Hydro Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-059

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

MASK - May 21, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On May 21, 2009 the offer Available Capability (AC) value for Manitoba Hydro import (MASK) asset was 0 MW for HE 5. For this same hour, the sum of the import e-tag quantities was 36 MW which is a discrepancy of 36 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

The AESO referred this event to the MSA on August 12, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for May 21, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
- 3. Manitoba Hydro August 5, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated August 12, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the fifth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

## Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Vic Schroeder – Manitoba Hydro David Cormie – Manitoba Hydro

Cheryl Sanclemente – Manitoba Hydro

Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-060

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

MASK – May 23, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On May 23, 2009 the offer Available Capability (AC) value for Manitoba Hydro import (MASK) asset was 0 MW for HE 22. For this same hour, the sum of the import e-tag quantities was 36 MW which is a discrepancy of 36 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

The AESO referred this event to the MSA on August 12, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for May 23, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
- 3. Manitoba Hydro August 5, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated August 12, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the sixth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

## Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Vic Schroeder – Manitoba Hydro David Cormie – Manitoba Hydro

Cheryl Sanclemente – Manitoba Hydro

Jodi Chaulk – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

September 30, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-061

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

MASK – May 24, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

## **Event**

On May 24, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 22:51 which increased the available capability (AC) for the asset within the T-2 window for HE 24. This restatement had the effect of increasing the AC value from 0 to 50 MW for HE 24. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance

within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

## **Process**

The AESO referred this event to the MSA on August 14, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for May 24, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
- 3. Manitoba Hydro July 9, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated August 14, 2009 notifying the referral of the matter to the MSA.

### **Specified Penalty**

The MSA understands that this event constitutes the eighth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 2, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Vic Schroeder – Manitoba Hydro David Cormie – Manitoba Hydro

Cheryl Sanclemente – Manitoba Hydro

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

September 30, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro 360 Portage Avenue Box 815, Stn. Main Winnipeg, MB R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re:** MSA File # 2009-062

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

MASK – May 25, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On May 24, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for May 25, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no

allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

# **Process**

The AESO referred this event to the MSA on August 14, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the MASK asset for May 24 and 25, 2009.
- 2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
- 3. Manitoba Hydro July 9, 2009 response to AESO information request.
- 4. AESO letter to Manitoba Hydro dated August 14, 2009 notifying the referral of the matter to the MSA.

#### Specified Penalty

The MSA understands that this event constitutes the ninth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 2, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Vic Schroeder – Manitoba Hydro David Cormie – Manitoba Hydro

Cheryl Sanclemente – Manitoba Hydro

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

October 21, 2009

Delivered via e-mail to: Marvin\_Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7 Encana Corporation 1800, 855 – 2<sup>nd</sup> St. SW Calgary, Alberta T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.

Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

**Re:** MSA File # 2009-066

**Contravention of ISO rule 3.5.5 – Notice of Specified Penalty** 

NX01 – April 6, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Balzac (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

# **Event**

On April 6, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 21:45 which decreased the DDS offer from 65 MW to 45 MW for the asset within the T-2 window for April 6, 2009 HE 23. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an "acceptable operational reason".

The AESO referred this event to the MSA on August 6, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the NX01 asset for April 6, 2009.
- 2. AESO Information Request to Nexen Inc. and Encana Corp. dated June 30, 2009.
- 3. Nexen Inc. July 15, 2009 response to AESO information request.
- 4. Encana Corp. August 6, 2009 response to AESO information request.
- 5. AESO letter to Nexen Inc. and Encana Corp. dated August 6, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the third contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 3.5.5.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 20, 2009.

### **Delivery of Payment**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

## Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Susan Schulli – Nexen

Ed Hucman - Nexan Marie Gallant – Encana Rod Crockford - Encana Cora Anderson – AUC Darin Lowther – AUC Sabi Ghayami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

October 8, 2009

Delivered via e-mail to: teresa.conway @powerex.com

Powerex Corp. 1400, 666 Burrard Street Vancouver, B.C. V6C 2X8

Attention: Teresa Conway, President and Chief Executive Officer

Dear Ms. Conway:

**Re:** MSA File # 2009-070

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

**PWBC – April 15, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the PWBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 14, 2009 an offer restatement was submitted for Powerex Corp. import (PWBC) asset at 23:21 which increased the available capability (AC) for the asset within the T-2 window for April 15, 2009 HE 1. This restatement had the effect of increasing the AC value from 50 to 75 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the PWBC asset for April 14 and 15, 2009.
- 2. AESO Information Request to Powerex Corp. dated June 8, 2009
- 3. Powerex Corp. June 22, 2009 response to AESO information request.
- 4. AESO letter to Powerex Corp. dated June 25, 2009 notifying the referral of the matter to the MSA.
- 5. Powerex Corp. October 5, 2009 response to the MSA's October 1, 2009 email request for any further information or mitigating circumstances.

### **Specified Penalty**

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 9, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jeff Lam - Powerex

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

October 8, 2009

Delivered via e-mail to: deb.armour@powerex.com

Powerex Corp. 1400, 666 Burrard Street Vancouver, B.C. V6C 2X8

Attention: Ms. Deb Armour, Director of Legal and Compliance Services

Dear Ms. Armour:

**Re:** MSA File # 2009-071

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

**PWSK – April 17, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the PWSK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 17, 2009 an offer restatement was submitted for Powerex Corp. import (PWSK) asset at 22:43 which increased the available capability (AC) for the asset within the T-2 window for HE 24. This restatement had the effect of increasing the AC value from 0 to 30 MW for HE 24. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the PWSK asset for April 17, 2009.
- 2. AESO Information Request to Powerex Corp. dated June 8, 2009
- 3. Powerex Corp. June 22, 2009 response to AESO information request.
- 4. AESO letter to Powerex Corp dated June 25, 2009 notifying the referral of the matter to the MSA.
- 5. Powerex Corp. October 5, 2009 response to the MSA's October 1, 2009 email request for any further information or mitigating circumstances.

# **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 9, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jeff Lam - Powerex

Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

October 8, 2009

Delivered via e-mail to: teresa.conway @powerex.com

Powerex Corp. 1400, 666 Burrard Street Vancouver, B.C. V6C 2X8

Attention: Teresa Conway, President and Chief Executive Officer

Dear Ms. Conway:

**Re:** MSA File # 2009-072

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

**PWSK – April 18, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the PWSK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 17, 2009 an offer restatement was submitted for Powerex Corp. import (PWSK) asset at 22:44 which increased the available capability (AC) for the asset within the T-2 window for April 18, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 30 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the PWSK asset for April 18, 2009.
- 2. AESO Information Request to Powerex Corp. dated June 8, 2009
- 3. Powerex Corp. June 22, 2009 response to AESO information request.
- 4. AESO letter to Powerex Corp dated June 25, 2009 notifying the referral of the matter to the MSA.
- 5. Powerex Corp. October 5, 2009 response to the MSA's October 1, 2009 email request for any further information or mitigating circumstances.

### **Specified Penalty**

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 9, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jeff Lam - Powerex

Darin Lowther – AUC Sabi Ghavami – AUC



#500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

December 14, 2009

Delivered via e-mail to: Marvin\_Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7 Encana Corporation 1800, 855 – 2<sup>nd</sup> St. SW Calgary, Alberta T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.

Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

**Re:** MSA File # 2009-078

Contravention of ISO rule 3.5.5 – Notice of Specified Penalty

NX01 – June 12, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

# **Event**

On June 12, 2009 offer restatements were submitted for the Nexen Inc #1 (NX01) asset at 23:31 and 23:35 for HE 1 and HE 2 respectively. These restatements decreased the DDS offers from 65 MW to 56 MW (HE1) and from 65 MW to 58 MW (HE2) for the asset within the T-2 window for June 12, 2009. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an "acceptable operational reason".

The AESO referred this event to the MSA on September 28, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the NX01 asset for June 12, 2009.
- 2. AESO Information Request to Nexen Inc. and Encana Corp. dated August 19, 2009.
- 3. Nexen Inc. September 24, 2009 response to AESO information request.
- 4. AESO letter to Nexen Inc. and Encana Corp. dated September 28, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the fourth contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

## Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

### **Delivery of Payment**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

## Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen

David P. O'Brien – c/o Marilynn Prentice, Board Executive Assistant - Encana

Susan Schulli – Nexen Ed Hucman - Nexan

Rod Crockford - Encana

Cora Anderson - AUC

Darin Lowther - AUC

Sabi Ghavami - AUC

#500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

December 16, 2009

Delivered via e-mail to: dean\_luciuk@transalta.com

TransAlta Utilities Corp. 110 – 12<sup>th</sup> Avenue SW Calgary, Alberta T2P 2M1

**Attention:** Mr. Dean Luciuk, Vice President, Trading & Operations

Dear Mr. Luciuk:

**Re:** MSA File # 2009-079

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

**TEBC – July 9, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the TEBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On July 9, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation import (TEBC) asset was 125 MW for HE 12. For this same hour, the sum of the import e-tag quantities was 100 MW which is a discrepancy of 25 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

### **Process**

The AESO referred this event to the MSA on October 9, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement and E-tag data for the TEBC asset for July 9, 2009.
- 2. AESO Information Request to TransAlta Energy Marketing Corporation dated September 14, 2009.
- 3. TransAlta Energy Marketing Corporation September 23, 2009 response to AESO information request.
- 4. AESO letter to TransAlta Energy Marketing Corporation dated October 9, 2009 notifying the referral of the matter to the MSA.

#### Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 15, 2010.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Darlene Halwas - TransAlta

Darren Gogol - TransAlta Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC



#500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 14, 2009

Delivered via e-mail to: Marvin\_Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7 Encana Corporation 1800, 855 – 2<sup>nd</sup> St. SW Calgary, Alberta T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.

Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

**Re:** MSA File # 2009-088

Contravention of ISO rule 3.5.5 – Notice of Specified Penalty

NX01 – October 29, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

### Event

On October 29, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 21:19 which decreased the DDS offer from 69 MW to 0 MW for the asset within the T-2 window for June 26, 2009 HE 23. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an "acceptable operational reason".

### **Process**

This event was self-reported to the MSA on November 13, 2009 as a suspected contravention of ISO rule 3.5 by your organization. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the NX01 asset for October 29, 2009.
- 2. Nexen Inc. November 13, 2009 self disclosure letter.

# **Specified Penalty**

The MSA understands that this event constitutes the seventh contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was self-reported by your organization, and therefore an adjustment to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

#### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

### Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen

David P. O'Brien – c/o Marilynn Prentice, Board Executive Assistant - Encana

Susan Schulli – Nexen

Ed Hucman - Nexen

Rod Crockford - Encana

Cora Anderson – AUC

Darin Lowther - AUC

Sabi Ghavami – AUC

#500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 14, 2009

Delivered via e-mail to: Marvin\_Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7 Encana Corporation 1800, 855 – 2<sup>nd</sup> St. SW Calgary, Alberta T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.

Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

**Re:** MSA File # 2009-095

**Contravention of ISO rule 3.5.5 – Notice of Specified Penalty** 

NX01 – June 19, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

### Event

On June 19, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 05:44 which decreased the DDS offer from 55 MW to 46 MW for the asset within the T-2 window for June 19, 2009 HE 7. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an "acceptable operational reason".

### **Process**

The AESO referred this event to the MSA on September 28, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the NX01 asset for June 19, 2009.
- 2. AESO Information Request to Nexen Inc. and Encana Corp. dated August 19, 2009.
- 3. Nexen Inc. September 24, 2009 response to AESO information request.
- 4. AESO letter to Nexen Inc. and Encana Corp. dated September 28, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the fifth contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen David P. O'Brien – c/o Marilynn Prentice, Board Executive Assistant – Encana

Susan Schulli – Nexen Ed Hucman - Nexen Rod Crockford - Encana Cora Anderson – AUC Darin Lowther – AUC Sabi Ghayami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6

www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 14, 2009

Delivered via e-mail to: Marvin Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7 Encana Corporation 1800, 855 – 2<sup>nd</sup> St. SW Calgary, Alberta T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.

Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

**Re:** MSA File # 2009-096

**Contravention of ISO rule 3.5.5 – Notice of Specified Penalty** 

NX01 – June 26, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

## **Event**

On June 26, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 00:21 which decreased the DDS offer from 34 MW to 14 MW for the asset within the T-2 window for June 26, 2009 HE 1, HE 2 and HE 3. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an "acceptable operational reason".

### **Process**

The AESO referred this event to the MSA on September 28, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the NX01 asset for June 26, 2009.
- 2. AESO Information Request to Nexen Inc. and Encana Corp. dated August 19, 2009.
- 3. Nexen Inc. September 24, 2009 response to AESO information request.
- 4. AESO letter to Nexen Inc. and Encana Corp. dated September 28, 2009 notifying the referral of the matter to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the sixth contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen David P. O'Brien – c/o Marilynn Prentice, Board Executive Assistant – Encana

David P. O'Brien – c/o Marilynn Prentice, Board Executive Assistant – Enc Susan Schulli – Nexen

Ed Hucman - Nexen

Rod Crockford - Encana

Cora Anderson - AUC

Darin Lowther – AUC

Sabi Ghavami – AUC

#500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 16, 2009

Delivered via e-mail to: Steve\_Snyder@TransAlta.com

TransAlta Utilities Corp. 110 – 12<sup>th</sup> Avenue SW Calgary, Alberta T2P 2M1

Attention: Mr. Stephen Snyder, President and CEO

Dear Mr. Snyder:

**Re:** MSA File # 2009-097

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

**TEBC – July 18, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the TEBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On July 18, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation import (TEBC) asset was 125 MW for HE 14. For this same hour, the sum of the import e-tag quantities was 0 MW which is a discrepancy of 125 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

### **Process**

The AESO referred this event to the MSA on October 9, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement and E-tag data for the TEBC asset for July 18, 2009.
- 2. AESO Information Request to TransAlta Energy Marketing Corporation dated September 14, 2009.
- 3. TransAlta Energy Marketing Corporation September 23, 2009 response to AESO information request.
- 4. AESO letter to TransAlta Energy Marketing Corporation dated October 9, 2009 notifying the referral of the matter to the MSA.

### **Specified Penalty**

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 15, 2010.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Darlene Halwas - TransAlta

Darren Gogol - TransAlta Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 16, 2009

Delivered via e-mail to: Steve\_Snyder@TransAlta.com

TransAlta Utilities Corp. 110 – 12<sup>th</sup> Avenue SW Calgary, Alberta T2P 2M1

Attention: Mr. Stephen Snyder, President and CEO

Dear Mr. Snyder:

**Re:** MSA File # 2009-098

**Contravention of ISO rule 6.3.3 – Notice of Specified Penalty** 

**TEBC – July 30, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a <u>notice of specified penalty</u> for non-compliance by the TEBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On July 30, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation import (TEBC) asset was 142 MW for HE 16. For this same hour, the sum of the import e-tag quantities was 192 MW which is a discrepancy of 50 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

### **Process**

The AESO referred this event to the MSA on October 9, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement and E-tag data for the TEBC asset for July 30, 2009.
- 2. AESO Information Request to TransAlta Energy Marketing Corporation dated September 14, 2009.
- 3. TransAlta Energy Marketing Corporation September 23, 2009 response to AESO information request.
- 4. AESO letter to TransAlta Energy Marketing Corporation dated October 9, 2009 notifying the referral of the matter to the MSA.

### **Specified Penalty**

The MSA understands that this event constitutes the third contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 15, 2010.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Darlene Halwas - TransAlta

Darren Gogol - TransAlta Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

November 12, 2009

Delivered via e-mail to: David\_Toole@cargill.com

David Toole Cargill Energy Trading Canada 12700 Whitewater Drive Minnetonka, MN, U.S.A., 55343

Attention: Mr. David Toole, Trading Manager

Dear Mr. Toole:

**Re:** MSA File # 2009-054

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

**CABC – May 17, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the CABC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

### **Event**

On May 17, 2009 an offer restatement was submitted for Cargill import (CABC) asset at 05:57 which increased the available capability (AC) for the asset within the T-2 window for May 17, 2009 HE 7 and HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW for HE 7 and HE 8. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the inability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export

bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

#### **Process**

The AESO referred this event to the MSA on August 11, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the CABC asset for May 17, 2009.
- 2. AESO Information Request to Cargill Energy Trading Canada dated June 29, 2009.
- 3. Cargill Energy Trading Canada July 14, 2009 response to AESO information request.
- 4. Cargill Energy Trading Canada dated August 11, 2009 notifying the referral of the matter to the MSA.
- 5. Cargill Energy Trading Canada email dated October 23, 2009.

### **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than December 14, 2009.

# **Delivery of Payment**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Lynn Martin - Cargill Energy Trading Canada

Cora Anderson – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

January 6, 2009

Delivered via e-mail to: ken\_kunz@transcanada.com

TransCanada Energy Ltd. 450 - 1<sup>st</sup> Street S.W. Calgary, Alberta T2P 0L6

Attention: Mr. Ken Kunz, Vice-President Western Power

Dear Mr. Kunz:

**Re:** MSA File # 2008-051

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

TC01 - April 10, 2008

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the TC01 asset with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On April 10, 2008 the Carseland (TC01) asset was found to be in non-compliance with Rule 6.6 (Dispatch Variance) for approximately 39 minutes between 12:36 and 13:15 at variances of up to 19 MW. The effect of ramping was noted as well as the effect of the next dispatch (at "13:12"). Taking into account all relevant facts, the non-compliance appeared to be over a period of at least 30 minutes.

#### **Process**

The suspected contravention was referred to the MSA by AESO on September 30, 2008 and your organization was notified accordingly. As part of its compliance monitoring the AESO obtained

information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. The MSA issued a subsequent information request to your organization on October 21, 2008 and received responses on November 4<sup>th</sup> and November 18<sup>th</sup>, 2008.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO generation and dispatch data for the TC01 asset on April 10, 2008.
- 2. TransCanada August 27, 2008 response to AESO August 6, 2008 information request.
- 3. TransCanada November 4, 2008 response to MSA October 21, 2008 information request.
- 4. TransCanada November 18, 2008 response to MSA October 21, 2008 information request.

## **Specified Penalty**

The Level of Non-Compliance for this specific circumstance is assessed to be Level 1 per the specified penalties matrix contained in AUC Rule 019 (the version then in effect). The MSA understands that this event constitutes the sixth contravention of ISO rule 6.6 by your organization in the trailing 12 month period. Previous contraventions within this time frame for which your organization received notifications occurred on May 7, 2007, May 14, 2007, May 14, 2007, July 1, 2007, and November 30, 2007. The first four of these were addressed by AESO non-compliance letters in the respective AESO Decisions 2007-015, 2007-016, 2007-017, and 2007-023. The last contravention was addressed by an MSA Notice of Specified Penalty (MSA file reference 2008-001) which was adjudicated in AUC Decision 2008-126.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$4,000.00 is appropriate for this specific contravention of ISO rule 6.6.

# Specified Penalty Due Date

The penalty is due and payable to the AUC not later than February 5, 2009.

### **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: The Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Sherry Sellick, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with AUC Rule 019 (version then prevailing), the MSA will make public this notice of specified penalty by posting a copy of this notice on its website, on or after 30 days from the date of issuance of the notice. The MSA also reserves the right to make information pertaining to the notice public through other means, in accordance with relevant enactments and rules (including rules applicable to a hearing or other proceeding before the AUC).

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Douglas Wilson.

Legal Counsel.

Cc: Sherry Sellick - AUC

Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

June 12, 2009

Delivered via e-mail to: Michael\_macphee@nexeninc.com

Nexen Inc. 801 – 7<sup>th</sup> Avenue SW Calgary, Alberta T2P 3P7

Attention: Mr. Michael MacPhee, General Manager Power Marketing

Dear Mr. McPhee:

**Re:** MSA File # 2009-029

Contravention of ISO rule 6.6 – Notice of Specified Penalty NX02 – February 25, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by Nexen Long Lake (NX02) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

## **Event**

On February 25, 2009 the NX02 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 11:24 and ending at approximately 12:51 at variances of up to 145 MW. While dispatched to provide 150 MW to the AIES, the NX02 asset tripped offline however, the change in operating status of the NX02 asset was not communicated by Nexen to the AESO as soon as practical in accordance with ISO rule 6.6. Consequently, the NX02 asset was considered to be in non-compliance with its dispatch for a period of approximately 87 minutes.

### **Process**

The AESO referred this event to the MSA on May 8, 2009 as a suspected contravention of ISO rules 6.6 and 3.5.3.2, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

# <u>Findings</u>

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6. In this case, the MSA is not pursuing a separate penalty in respect of ISO rule 3.5.3.2.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC) and dispatch data for the NX02 asset on February 25, 2009.
- 2. AESO Information Request to Nexen dated March 24, 2009
- 3. Nexen April 8, 2009 response to AESO information request.
- 4. AESO letter to Nexen dated May 8, 2009 notifying the referral of the matter to the MSA
- 5. Supplemental information provided by Nexen to the MSA in two e-mail communications dated June 4, 2009 and June 5, 2009.

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance exceeding 50 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$10,000.00 is appropriate for this specific contravention of ISO rule 6.6.

## Specified Penalty Due Date

The penalty is due and payable not later than July 14, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

## Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(2) and s. 6(3) of AUC Rule 019, the MSA will make public this notice of specified penalty on the basis that this event constitutes the third contravention of ISO rule 6.6 within the period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

# "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami – AUC Ed Hucman - Nexen #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

July 16, 2009

Delivered via e-mail to: kbailey@suncor.com

Suncor Energy Inc. P.O. Box 4001 Suncor Oil Sands Plant Fort McMurray, Alberta T9H 3E3

Attention: Mr. Kirk Bailey, Executive Vice President, Oil Sands

Dear Mr. Bailey:

**Re:** MSA File # 2009-038

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SCR1 – May 28, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID SCR1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On May 28, 2009 the SCR1 asset was found to be in non-compliance with its dispatch level for a period beginning at 23:15 and ending at 23:40 at variances of up to 99 MW in respect of a dispatch down to 340 MW.

#### **Process**

The event was identified as a potential contravention of ISO rules by TransAlta Corporation and reported to the MSA on June 12, 2009 on behalf of your organization.

The MSA gathered other relevant records (information) in accordance with its mandate under the Act and the MSA Investigation Procedures, including that the MSA provided an opportunity for your organization to bring forward any additional information it considered relevant to the matters at issue.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. TransAlta June 12, 2009 letter of self report to the MSA.
- 2. Suncor July 2, 2009 response to a June 24, 2009 MSA Information Request.
- 3. AESO generation and dispatch data for the SCR1 asset on May 28, 2009.

# **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for less than 15 minutes in duration at a dispatch variance of 50 or greater MW. As such, the applicable specified penalty is \$2,500. The MSA notes that this contravention was self-reported by your organization, and therefore a reduction to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of  $\frac{$1,250}{}$  is appropriate for this specific contravention of ISO rule 6.6.

# Specified Penalty Due Date

The penalty is due and payable not later than August 17, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

## Notice of Specified Penalty Public

In accordance the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 notice, the MSA will make public this notice of specified penalty on the basis that this event constitutes the third contravention of ISO rule 6.6 within the rolling 12 month period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

July 16, 2009

Delivered via e-mail to: kbailey@suncor.com

Suncor Energy Inc. P.O. Box 4001 Suncor Oil Sands Plant Fort McMurray, Alberta T9H 3E3

Attention: Mr. Kirk Bailey, Executive Vice President, Oil Sands

Dear Mr. Bailey:

**Re:** MSA File # 2009-039

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SCR1 – June 2, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID SCR1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On June 2, 2009 the SCR1 asset was found to be in non-compliance with its dispatch level for a period beginning at 09:06 and ending at 09:32 at variances of up to 98 MW in respect of a dispatch up to 434 MW.

#### **Process**

The event was identified as a potential contravention of ISO rules by TransAlta Corporation and reported to the MSA on June 12, 2009 on behalf of your organization.

The MSA gathered other relevant records (information) in accordance with its mandate under the Act and the MSA Investigation Procedures, including that the MSA provided an opportunity for your organization to bring forward any additional information it considered relevant to the matters at issue.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. TransAlta June 12, 2009 letter of self report to the MSA.
- 2. Suncor July 2, 2009 response to a June 24, 2009 MSA Information Request.
- 3. AESO generation and dispatch data for the SCR1 asset on June 2, 2009.

# **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 15 minutes but less than 30 minutes in duration at a dispatch variance of 50 or greater MW. As such, the applicable specified penalty is \$5,000. The MSA notes that this contravention was self-reported by your organization, and therefore a reduction to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2,500 is appropriate for this specific contravention of ISO rule 6.6.

# **Specified Penalty Due Date**

The penalty is due and payable not later than August 17, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

## Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 notice, the MSA will make public this notice of specified penalty on the basis that this event constitutes the fourth contravention of ISO rule 6.6 within the rolling 12 month period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

August 17, 2009

Delivered via e-mail to: <u>kbailey@suncor.com</u>

Suncor Energy Inc. P.O. Box 4001 Suncor Oil Sands Plant Fort McMurray, Alberta T9H 3E3

Attention: Mr. Kirk Bailey, Executive Vice President, Oil Sands

Dear Mr. Bailey:

**Re:** MSA File # 2009-049

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SCR1 – July 11, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID SCR1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On July 11, 2009 the SCR1 asset was found to be in non-compliance with its dispatch level for a period beginning at 13:32 and ending at 13:56 at variances of up to 27 MW in respect of an energy dispatch to move from 365 MW to 395 MW.

#### **Process**

The event was identified as a potential contravention of ISO rules by TransAlta Corporation and reported to the MSA on July 19, 2009 on behalf of your organization.

The MSA gathered other relevant records (information) in accordance with its mandate under the Act and the MSA Investigation Procedures, including that the MSA provided an opportunity for your organization to bring forward any additional information it considered relevant to the matters at issue.

# **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. TransAlta July 19, 2009 letter of self report to the MSA.
- 2. AESO generation and dispatch data for the SCR1 asset on July 11, 2009.

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 15 minutes but less than 30 minutes in duration at a dispatch variance of 25 to less than 50 MW. As such, the applicable specified penalty is \$2,500. The MSA notes that this contravention was self-reported by your organization, and therefore a reduction to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1,250 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than September 16, 2009.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

## Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Jodi Chaulk – AUC

Darin Lowther – AUC Sabi Ghavami - AUC

(403) 705-3181 Tel (403) 232-8343 Fax

November 27, 2009

Delivered via e-mail to: rod.crockford@encana.com

EnCana Corporation. 1800, 855 – 2<sup>nd</sup> Street SW P.O. Box 2850 Calgary, Alberta T2P 2S5

**Attention:** Mr. Rod Crockford

Dear Mr. Crockford:

**Re:** MSA File # 2009-063

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

EC04 – June 8, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID EC04 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On June 8, 2009 the EC04 asset was found to be in non-compliance with its dispatch level for a period beginning at 19:49 and ending at 20:43 at variances of up to 32 MW without a dispatch or directive from the AESO System Controller and while its available capability (AC) was stated as 0 MW.

#### **Process**

The AESO referred this event to the MSA on August 31, 2009 as a suspected contravention of ISO rules 6.6 and 3.5.3 and your organization was notified accordingly. As part of its

compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is not pursuing the event as a violation of ISO rule 3.5.3. However, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and net to grid generation data for the EC04 asset on June 8, 2009.
- 2. AESO Information Request to EnCana Corporation dated August 7, 2009
- 3. EnCana Corporation August 12, 2009 response to AESO information request.
- 4. AESO letter to EnCana Corporation August 31, 2009 notifying the referral of the matter to the MSA

# **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for 45 minutes or greater in duration at a dispatch variance of 25 to less than 50 MW. As such, the applicable specified penalty is \$7,500. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$5,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than January 8, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

## Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Paul St. Amant – EnCana Corporation

Cora Anderson – AUC Darin Lowther – AUC Sabi Ghavami - AUC

(403) 705-3181 Tel (403) 232-8343 Fax

October 29, 2009

Delivered via e-mail to: lenns@enmax.com

ENMAX Energy Corporation 141 – 50th Avenue S.E. Calgary, Alberta T2G 4S7

Attention: Mr. Lonnie Enns, Vice President, Generation & Wholesale Energy

Dear Mr. Enns,

**Re:** MSA File # 2009-068

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

BR5 – June 22, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID BR5 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On June 22, 2009 the BR5 asset was found to be in non-compliance with its dispatch level for a period beginning at 10:33 and ending at 11:06 at variances of up to 45 MW after receiving a dispatch to 360 MW from the AESO.

#### Process

The AESO referred this event to the MSA on September 3, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and net to grid generation data for the BR5 asset on June 22, 2009.
- 2. AESO Information Request to ENMAX PPA Management Inc. dated July 30, 2009.
- 3. ENMAX PPA Management Inc. July 30, 2009 response to AESO information request.
- 4. AESO letter to ENMAX PPA Management Inc. September 3, 2009 notifying the referral of the matter to the MSA
- 5. ENMAX PPA Management Inc. October 20, 2009 e-mail communication to MSA confirming no further information to add.

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribe the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance 25 to less than 50 MW. As such, the applicable specified penalty is \$5,000. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$5,000 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than November 30, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson; Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

## Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

## Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Glenn Kosak – Enmax

Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

November 12, 2009

Delivered via e-mail to: ken\_kunz@transcanada.com

TransCanada Energy Ltd. 450 – 1<sup>st</sup> Street SW Calgary, Alberta T2P 5H1

**Attention: Mr. Ken Kunz** 

Dear Mr. Kunz,

**Re:** MSA File # 2009-075

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SD1 – June 27, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID SD1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On June 27, 2009 the SD1 asset was found to be in non-compliance with its dispatch level for a period beginning at 02:01 and ending at 02:34 at variances of up to 85 MW after receiving a dispatch down to 200 MW from the AESO.

#### Process

The AESO referred this event to the MSA on September 22, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch and generation data for the SD1 asset on June 27, 2009.
- 2. AESO Information Request to TransCanada Energy Ltd. dated July 30, 2009.
- 3. TransCanada Energy Ltd. August 25, 2009 response to AESO information request.
- 4. AESO letter to TransCanada Energy Ltd. September 22, 2009 notifying the referral of the matter to the MSA
- 5. TransCanada Energy Ltd. November 3, 2009 e-mail communication to MSA.

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance 50 or greater MW. As such, the applicable specified penalty is \$7,500. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$7,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than December 14, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

## Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Mark Kocsar - TransCanada

Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

November 12, 2009

Delivered via e-mail to: ken\_kunz@transcanada.com

TransCanada Energy Ltd. 450 – 1<sup>st</sup> Street SW Calgary, Alberta T2P 5H1

**Attention: Mr. Ken Kunz** 

Dear Mr. Kunz,

**Re:** MSA File # 2009-076

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SD2 – June 27, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID SD2 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On June 27, 2009 the SD2 asset was found to be in non-compliance with its dispatch level for a period beginning at 02:01 and ending at 02:37 at variances of up to 37 MW after receiving a dispatch down to 180 MW from the AESO.

#### Process

The AESO referred this event to the MSA on September 22, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and generation data for the SD2 asset on June 27, 2009.
- 2. AESO Information Request to TransCanada Energy Ltd. dated July 30, 2009.
- 3. TransCanada Energy Ltd. August 25, 2009 response to AESO information request.
- 4. AESO letter to TransCanada Energy Ltd. September 22, 2009 notifying the referral of the matter to the MSA
- 5. TransCanada Energy Ltd. November 3, 2009 e-mail communication to the MSA.

# **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance 25 to less than 50 MW. As such, the applicable specified penalty is \$5,000. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$5,000 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than December 14, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

## Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Mark Kocsar - TransCanada

Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

November 27, 2009

Delivered via e-mail to: doucri@medicinehat.ca

City of Medicine Hat 2172 Briar Park Place NW Medicine Hat, Alberta T1C 1S6

Attention: Mr. Doug Crichton, Business Manager

Dear Mr. Crichton:

**Re:** MSA File # 2009-083

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**CMH1 – July 29, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID CMH1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On July 29, 2009 the CMH1 asset was found to be in non-compliance with its dispatch level for a period beginning at 13:01 and ending at 13:44 at variances of up to 13 MW after receiving a dispatch down to 114 MW from the AESO.

### **Process**

The AESO referred this event to the MSA on October 21, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and generation data for the CMH1 asset on July 29, 2009.
- 2. AESO Information Request to City of Medicine Hat dated September 17, 2009.
- 3. City of Medicine Hat September 24, 2009 response to AESO information request.
- 4. AESO letter to City of Medicine Hat October 21, 2009 notifying the referral of the matter to the MSA

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance of greater than 5 to less than 15 MW. As such, the applicable specified penalty is \$1,500. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than January 8, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Cora Anderson – AUC

Darin Lowther – AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 8, 2009

Delivered via e-mail to: <u>Dale.Meyer@Constellation.com</u>

Grande Prairie Generation Inc. 100 Constellation Way, Suite 500C Baltimore, MD 21202 USA

Attention: Mr. Dale C. Meyer, Managing Director

Dear Mr. Meyer:

**Re:** MSA File # 2009-084

Contravention of ISO rule 3.5.3 – Notice of Specified Penalty

NPP1 – July 28-29, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the NPP1 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On July 28, 2009 NPP1 experienced NOX emissions issues which lead the plant to trip offline at 20:48. The AESO System Controller was notified that unit was off-line. However, Grande Prairie Generation Inc. failed to restate the available capability (AC) to 0 MW until HE 5 on July 29, 2009.

### **Process**

The AESO referred this event to the MSA on October 21, 2009 as a suspected contravention of ISO rules 3.5.3 and 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### Findings

Based upon the information obtained by the MSA, the MSA is not pursuing the event as a violation of ISO rule 6.6. However, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and generation data for the NPP1 asset on July 28 & 29, 2009.
- 2. AESO Information Request to Grande Prairie Generation Inc. dated September 14, 2009
- 3. Grande Prairie Generation Inc. September 24, 2009 response to AESO information request.
- 4. AESO letter to Grande Prairie Generation Inc. dated October 21, 2009 notifying the referral of the matter to the MSA.
- 5. E-mail communication from Grande Prairie Generation Inc. to the MSA dated November 9, 2009 indicating no further information to add.

### **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.3. by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 8, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

### Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Brenda Powell – Constellation Energy

Steven Wofford – Constellation Energy

Cora Anderson – AUC Darin Lowther – AUC Sabi Ghayami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

December 9, 2009

Delivered via e-mail to: fairley.brian@syncrude.com

Syncrude Canada Ltd. P.O. Bag 4009, M.D. 4100 Bldg 158, Fl 4th, Fsc East) Fort McMurray, Alberta T9H 3L1

**Attention:** Mr. Brian Fairley, Vice-President Production

Dear Mr. Fairley:

**Re:** MSA File # 2009-085

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SCL1 – July 18, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by Syncrude #1 (SCL1) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On July 18, 2009 the SCL1 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 10:00 and ending at approximately 11:02 at variances of up to 30 MW. Syncrude indicated that there does not appear to be any mitigating circumstances, affecting the Syncrude power panel operator's ability to either submit a new restatement, or contact the system controller during the relevant period.

#### **Process**

The AESO referred this event to the MSA on October 22, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance

monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and generation data for the SCL1 asset on July 18, 2009.
- 2. AESO Information Request to Syndrude Canada Ltd. dated September 10, 2009
- 3. Syndrude Canada LTD. October 9, 2009 response to AESO information request.
- 4. AESO letter to Syndrude Canada Ltd dated October 22, 2009 notifying the referral of the matter to the MSA

### **Specified Penalty**

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 45 minutes or greater in duration at a dispatch variance of 25 to less than 50 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$7,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than January 8, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

## Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Ryan Langevin - Syncrude

Cora Anderson – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca (403) 705-3181 Tel (403) 232-8343 Fax

January 14, 2010

Delivered via e-mail to: ken\_kunz@transcanada.com

TransCanada Energy Ltd. 450 – 1<sup>st</sup> Street SW Calgary, Alberta T2P 5H1

**Attention: Mr. Ken Kunz** 

Dear Mr. Kunz,

**Re:** MSA File # 2009-092

**Contravention of ISO rule 6.6 – Notice of Specified Penalty** 

**SH2 – September 24, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID SH2 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On September 24, 2009 the SH2 asset accepted a dispatch at 16:33 but did not move directionally toward the new dispatch level until 16:47. Section 6.6.3(a) of ISO Rule 6.6 requires that the output of a generating asset which is subject of the energy market dispatch and is ramping must be changed to move directionally towards the quantity (MW) indicated in that energy market dispatch within ten (10) minutes of the time specified in the energy market dispatch.

#### Process

The AESO referred this event to the MSA on December 4, 2009 as a suspected contravention of ISO rule 6.6 and your organization was notified accordingly. As part of its compliance

monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

## **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC), dispatch, and generation data for the SH2 asset on September 24, 2009.
- 2. AESO Information Request to TransCanada Energy Ltd. dated November 6, 2009.
- 3. TransCanada Energy Ltd. November 26, 2009 response to AESO information request.
- 4. AESO letter to TransCanada Energy Ltd. December 4, 2009 notifying the referral of the matter to the MSA
- 5. TransCanada Energy Ltd. December 22, 2009 e-mail communication to the MSA.

# **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.6 by this asset since September 1, 2009. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of  $\frac{$1,500}{}$  is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Mark Kocsar - TransCanada

Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6 www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

January 14, 2010

Delivered via e-mail to: Colin\_Mills@TransAlta.com

Canadian Gas & Electric Inc. C/O Box 1900, Station "M" 110-12th Avenue S.W. Calgary, Alberta T2P 2M1

**Attention:** Mr. Colin Mills, VP Gas Operations

Dear Mr. Mills:

**Re:** MSA File # 2009-093

Contravention of ISO rule 6.6 – Notice of Specified Penalty GPEC – September 4, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID GPEC with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On September 4, 2009 between 12:50 and 18:50 the GPEC asset was found to be outside its allowable dispatch variance (ADV) of 5 MW. The variance was up to 8 MW outside of its ADV and persisted for approximately 35 ten minute clock periods. Section 6.6.2(a) of ISO Rule 6.6 requires that during generating asset steady state, with reference to an energy market dispatch, the average quantity (MW) delivered by a generating asset in any 10 minute clock period referenced in the energy market dispatch must not vary from the energy market dispatch quantity (MW) by more than ADV.

### **Process**

The AESO referred this event to the MSA on December 4, 2009 as a suspected contravention of ISO rule 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC) and dispatch data for the GPEC asset on September 4, 2009.
- 2. AESO Information Request to Canadian Gas & Electric Inc. dated November 6, 2009
- 3. Canadian Gas & Electric Inc. November 13, 2009 response to AESO information request.
- 4. AESO letter to Canadian Gas & Electric Inc. dated December 4, 2009 notifying the referral of the matter to the MSA
- 5. Canadian Gas & Electric Inc. e-mail communication to the MSA dated December 22, 2009.

### **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.6 by this asset since September 1, 2009. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

## **Delivery of Payment**

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Darren Gogol - TransAlta

Cora Anderson – AUC Darin Lowther – AUC Sabi Ghavami – AUC

(403) 705-3181 Tel (403) 232-8343 Fax

January 15, 2010

Delivered via e-mail to: Cynthia\_Johnston@transalta.com

Canadian Hydro Developers Inc. C/O Box 1900, Station 'M' 110-12th Avenue SW Calgary, Alberta T2P 2M1

**Attention:** Ms Cynthia Johnston, VP Renewable Operations

Dear Ms. Johnston:

**Re:** MSA File # 2009-094

Contravention of ISO rule 6.6 – Notice of Specified Penalty TAY1 – September 16, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID TAY1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

### **Event**

On September 16, 2009 between 22:00 and 23:30 the TAY1 asset was found to be outside its allowable dispatch variance (ADV) of 5MW. The variance was up to 7 MW outside of its ADV and persisted for approximately 10 ten minute clock periods. Section 6.6.2(a) of ISO Rule 6.6 requires that during generating asset steady state, with reference to an energy market dispatch, the average quantity (MW) delivered by a generating asset in any 10 minute clock period referenced in the energy market dispatch must not vary from the energy market dispatch quantity (MW) by more than ADV.

### **Process**

The AESO referred this event to the MSA on December 4, 2009 as a suspected contravention of ISO rule 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO Available Capability (AC) and dispatch data for the TAY1 asset on September 16, 2009.
- 2. AESO Information Request to Canadian Hydro Developers Inc. dated November 6, 2009
- 3. Canadian Hydro Developers Inc. December 4, 2009 response to AESO information request.
- 4. AESO letter to Canadian Hydro Developers Inc. dated December 4, 2009 notifying the referral of the matter to the MSA

#### **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.6 by this asset since September 1, 2009. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1,500 is appropriate for this specific contravention of ISO rule 6.6.

### Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

#### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

"Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Darren Gogol - TransAlta

Cora Anderson – AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

January 14, 2010

Delivered via e-mail to: lenns@enmax.com

ENMAX Energy Corporation 141 – 50th Avenue S.E. Calgary, Alberta T2G 4S7

Attention: Mr. Lonnie Enns, Vice President, Generation & Wholesale Energy

Dear Mr. Enns,

**Re:** MSA File # 2009-100

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

**EEBC – December 14, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by asset ID EEBC with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

### **Event**

Section 6.3.3 of the ISO rules requires the sum of the e-tag quantities cannot be greater than the Available Capability (AC) offered two hours before the settlement interval. On December 14, 2009 the e-tag quantity for EEBC asset was 33 MW for HE 11 and HE 12 and the AC offered two hours before the settlement interval was 0 MW. The MSA notes a subsequent restatement was made at 09:48 (within two hours of the settlement interval) to align the AC with the e-tag.

#### **Process**

This event was self reported to the MSA on December 23, 2009 as a suspected contravention of ISO rule 6.3.3 by your organization. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the EEBC asset for December 14, 2009.
- 2. ENMAX Energy Marketing Inc. self report letter dated December 23, 2009.

# **Specified Penalty**

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was self-reported by your organization, and therefore an adjustment to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$250.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson; Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

#### Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

### Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the MSA Investigation Procedures (particularly Appendix A therein), found on the MSA website under Processes.

Yours truly, Market Surveillance Administrator

## "Original Signed"

Per: Matt Ayres

**Chief Economist** 

Cc: Glenn Kosak – Enmax

Cora Anderson - AUC Darin Lowther – AUC Sabi Ghavami – AUC #500, 400 – 5th Avenue S.W. Calgary, Alberta T2P 0L6
www.albertamsa.ca

(403) 705-3181 Tel (403) 232-8343 Fax

November 12, 2009

Delivered via e-mail to: teresa.conway @powerex.com

Powerex Corp. 1400, 666 Burrard Street Vancouver, B.C. V6C 2X8

Attention: Teresa Conway, President and Chief Executive Officer

Dear Ms. Conway:

**Re:** MSA File # 2009-067

Contravention of ISO rule 6.3.3 – Notice of Specified Penalty

**PWBC – June 22, 2009** 

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a <u>notice of specified penalty</u> for non-compliance by the PWBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

#### **Event**

On June 22, 2009 an offer restatement was submitted for Powerex Corp. import (PWBC) asset at 21:14 which increased the available capability (AC) for the asset within the T-2 window for June 22, 2009 HE 23. This restatement had the effect of increasing the AC value from 200 to 300 MW for HE 23. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the inability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export

bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

## **Process**

The AESO referred this event to the MSA on September 2, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

### **Findings**

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

- 1. AESO restatement data for the PWBC asset for June 22, 2009.
- 2. AESO Information Request to Powerex Corp. dated July 30, 2009
- 3. Powerex Corp. August 14, 2009 response to AESO information request.
- 4. AESO letter to Powerex Corp. dated September 2, 2009 notifying the referral of the matter to the MSA.
- 5. Powerex Corp. October 23, 2009 email stating there is no additional information to provide.

### **Specified Penalty**

The MSA understands that this event constitutes the third contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

### Specified Penalty Due Date

The penalty is due and payable to the AUC not later than December 14, 2009.

### Delivery of Payment

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

# Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

# Dispute re Notice of Specified Penalty

If your organization disputes the issuance of this notice of specified penalty, or if you have any other questions of comments regarding this matter, please contact Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or <a href="mailto:doug.doll@albertamsa.ca">doug.doll@albertamsa.ca</a>.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

# Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly, Market Surveillance Administrator

### "Original Signed"

Per: Matt Ayres

Chief Economist

Cc: Jeff Lam - Powerex

Cora Anderson - AUC Darin Lowther - AUC Sabi Ghavami - AUC