

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 12, 2010

Payment Due Date: June 11, 2010

MSA File Number:	2010-030	Specified Penalty Amount:	\$ 500
Market Participant Name:	Cargill Energy Trading Canada		
Asset ID (if applicable):	CABC	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	April 16, 2010
Date of Referral/Self Report:	April 20, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period. Previous MSA file number: 2009-054	

EVENT DETAILS

On April 16, 2010 an offer restatement was submitted for CABC asset at 09:46 which decreased the available capability (AC) for the asset within the T-2 window for HE 11. This restatement had the effect of decreasing the AC value from 25 MW to 0 MW for HE 11. The reason given, "unable to secure power" is not an acceptable operation reason. Section 6.3.3 of the 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 asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that 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 the CABC asset for April 16, 2010.
2. Cargill Energy Trading Canada letter of self report dated April 20, 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 (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:	September 13, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 1, 2010

Payment Due Date: July 2, 2010

MSA File Number:	2010-035	Specified Penalty Amount:	\$ 1,000
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	EMXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	December 9, 2009
Date of Referral/Self Report:	May 5, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period. Previous MSA file number 2010-016	

EVENT DETAILS

On December 9, 2009 the offer Available Capability (AC) value for EMXB export asset was 100 MW for HE 16. For this same hour, the sum of the export e-tag quantities was 0 MW as an electronic tag was not submitted. This was a discrepancy of 100 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered data for the EMXB asset for December 9, 2009.
2. AESO Information Request to Capital Power Energy Marketing L.P. dated April 12, 2010.
3. Capital Power Energy Marketing L.P. April 26, 2010 response to the AESO information request.
4. AESO letter to Capital Power Energy Marketing L.P. dated May 5, 2010 notifying the referral of the matter to the MSA.

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:	September 13, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 24, 2010

Payment Due Date: July 26, 2010

MSA File Number:	2010-037	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Cargill Energy Trading Canada		
Asset ID (if applicable):	CABC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	November 8, 2009
Date of Referral/Self Report:	May 13, 2010	This is the third contravention by this asset for this rule within a rolling 12 month period. See MSA Files 2009-054 and 2010-030	

EVENT DETAILS

On November 8, 2009 the offer Available Capability (AC) value for CABC asset was 25 MW for HE 21. For this same hour, the sum of the import e-tag quantities was 0 MW. This was 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered volume data for the CABC asset for November 8, 2009.
2. AESO Information Request to Cargill Energy Trading Canada dated April 12, 2010.
3. Cargill Energy Trading Canada April 26, 2010 response to AESO information request.
4. Letter to Cargill Energy Trading Canada dated May 13, 2010 notifying the referral of the matter to the MSA.

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:	September 13, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 22, 2010

Payment Due Date: July 22, 2010

MSA File Number:	2010-044	Specified Penalty Amount:	\$ 1,000
Market Participant Name:	Meg Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	March 14, 2010
Date of Referral/Self Report:	May 27, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period. See MSA file: 2010-043.	

EVENT DETAILS

On March 14, 2010 at 15:41 the MEG1 asset, due to operational problems, tripped off-line and could no longer meet its 76 MW dispatch. The available capability (AC) for the asset remained at 76 MW until 00:00 when the AC for the asset was restated to 10 MW. Section 3.5.3.2 (a) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability."

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.

MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the MEG1 asset for March 14, 2010.
2. AESO Information Request to Meg Energy Corp. dated March 30, 2010.
3. Meg Energy Corp. April 13, 2010 response to AESO information request.
4. AESO letter to Meg Energy Corp. dated May 27, 2010 notifying the referral of the matter to the MSA.

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:	September 13, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 29, 2010

Payment Due Date: August 30, 2010

MSA File Number:	2010-045	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Talisman Energy Canada (Edson)		
Asset ID (if applicable):	TLM2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	March 2, 2010
Date of Referral/Self Report:	June 3, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 2, 2010 at approximately 11:30, the TLM2 asset experienced operational problems causing a turbine to come off-line. Data provided by the AESO indicates that the TLM2 asset generated at a level up to 3.4 MW outside of its Dispatch Variance of 5 MW for 46 10 minute clock periods between 11:40 and 19:20 on March 2, 2010. Section 6.6.2 of ISO Rule 6.6 states that during generating asset steady state, with reference to an energy market dispatch issued to a pool participant, 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 the ADV.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for TLM2 asset on March 2, 2010.
2. AESO Information Request to Canadian Talisman Energy Canada (Edson) dated April 27, 2010.
3. Talisman Energy Canada (Edson) May 20, 2010 response to AESO information request.
4. AESO letter to Talisman Energy Canada (Edson) dated June 3, 2010 notifying the referral of the matter to the MSA.
5. Talisman Energy Canada (Edson) June 8, 2010 email to the MSA.

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: 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:	<i>"Original Signed"</i>	Signature Date:	July 29, 2010
Name:	Douglas Wilson	Title:	Legal Counsel & Secretary

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 24, 2010

Payment Due Date: July 26, 2010

MSA File Number:	2010-049	Specified Penalty Amount:	\$ 1,000
Market Participant Name:	Cargill Energy Trading Canada		
Asset ID (if applicable):	CAXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	December 19, 2009
Date of Referral/Self Report:	May 13, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period. See MSA file: 2010-048	

EVENT DETAILS

On December 19, 2009 the offer Available Capability (AC) value for CAXB export asset was 25 MW for HE 6. For this same hour, the sum of the export e-tag quantities was 0 MW. This was 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered data for the CAXB asset for December 19, 2009.
2. AESO Information Request to Cargill Energy Trading Canada dated April 12, 2010.
3. Cargill Energy Trading Canada April 26, 2010 response to the AESO information request.
4. AESO letter to Cargill Energy Trading Canada dated May 13, 2010 notifying the referral of the matter to the MSA.

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:	September 13, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 22, 2010

Payment Due Date: August 23, 2010

MSA File Number:	2010-050	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Canadian Natural Resources Ltd.		
Asset ID (if applicable):	CNR5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	March 29, 2010
Date of Referral/Self Report:	June 8, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 29, 2010 at approximately 09:30, the CNR5 asset experienced operational problems causing a drop of approximately 20 MW of on-site electrical load which resulted in an increase in net generation. Data provided by the AESO indicates that the CNR5 asset generated at a level up to 14.35 MW outside of its Dispatch Variance of 5 MW for 46 10 minute clock periods between 09:30 and 17:10 on March 29, 2010. Section 6.6.2 of ISO Rule 6.6 states that during generating asset steady state, with reference to an energy market dispatch issued to a pool participant, 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 the ADV.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for CNR5 asset on March 29, 2010.
2. AESO Information Request to Canadian Natural Resources Ltd. dated April 28, 2010.
3. Canadian Natural Resources Ltd. May 13, 2010 response to AESO information request.
4. AESO letter to Canadian Natural Resources Ltd. dated June 8, 2010 notifying the referral of the matter to the MSA.
5. Canadian Natural Resources Ltd. June 16, 2010 email to the MSA.

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: 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:	"Original Signed"	Signature Date:	July 22, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 10, 2010

Payment Due Date: September 9, 2010

MSA File Number:	2010-055	Specified Penalty Amount:	\$ 1,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	PWBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	December 7, 2009
Date of Referral/Self Report:	June 25, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period. See file 2009-070.	

EVENT DETAILS

On December 7, 2009 the offer Available Capability (AC) value for PWBC import asset was 500 MW for HE 6. For this same hour, the sum of the export e-tag quantities was 379 MW. This was a discrepancy of 121 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 the PWBC asset for December 7, 2009.
2. AESO Information Request to Powerex Corp. dated April 12, 2010.
3. Powerex Corp. April 21, 2010 response to AESO information request.
4. AESO letter to Powerex Corp. dated June 25, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	August 10, 2010
Name:	Douglas Wilson	Title:	Legal Counsel & Secretary

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 6, 2010

Payment Due Date: September 7, 2010

MSA File Number:	2010-056	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransCanada Energy Sales Ltd.		
Asset ID (if applicable):	ESBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	February 5, 2010
Date of Referral/Self Report:	June 23, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 5, 2010 an offer restatement was submitted for ESBC asset at 17:58 which increased the available capability (AC) for the asset within the T-2 window for February 5, 2010 for HE 19. 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) 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 sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 metered and offered data for the ESBC asset for February 5, 2010.
2. AESO Information Request to TransCanada Energy Sales Ltd. dated June 2, 2010.
3. TransCanada Energy Sales Ltd. June 11, 2010 response to the AESO information request.
4. AESO letter to TransCanada Energy Sales Ltd. dated June 23, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	August 6, 2010
Name:	Douglas Wilson	Title:	Legal Counsel & Secretary

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 10, 2010

Payment Due Date: October 11, 2010

MSA File Number:	2010-060	Specified Penalty Amount:	\$ 3,000
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	May 12, 2010
Date of Referral/Self Report:	July 5, 2010	This is the third contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 12, 2010 at 15:44 the MEG1 asset, due to operational problems, tripped off-line and could no longer meet its 67 MW dispatch. The available capability (AC) for the asset remained at 67 MW until 18:21 when the AC for the asset was restated to 0 MW. Section 3.5.3.2 (a) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability."

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.

MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the MEG1 asset for May 12, 2010.
2. AESO Information Request to MEG Energy Corp. dated June 17, 2010.
3. MEG Energy Corp. June 24, 2010 response to AESO information request.
4. AESO letter to MEG Energy Corp. dated July 5, 2010 notifying the referral of the matter to the MSA.
5. MEG Energy Corp. July 5, 2010 response to the Market Surveillance Administrator.

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: 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:	"Original Signed"	Signature Date:	September 10, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 24, 2010

Payment Due Date: September 24, 2010

MSA File Number:	2010-061	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	Canadian Natural Resources Ltd.		
Asset ID (if applicable):	CNR5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	May 29, 2010
Date of Referral/Self Report:	July 7, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period. See MSA File 2010-050.	

EVENT DETAILS

On May 29, 2010 at approximately 01:14, a production line was unexpectedly shut down for unplanned maintenance which caused a drop of approximately 10 MW of on-site electrical load resulting in an increase in net generation. Data provided by the AESO indicates that the CNR5 asset generated at a level up to 8.13 MW outside of its Dispatch Variance of 5 MW for 21 10 minute clock periods between 00:40 and 04:10 on May 29, 2010. Section 6.6.2 of ISO Rule 6.6 states that during generating asset steady state, with reference to an energy market dispatch issued to a pool participant, 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 the ADV.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for CNR5 asset on May 29, 2010.
2. AESO Information Request to Canadian Natural Resources Ltd. dated June 17, 2010.
3. Canadian Natural Resources Ltd. June 29, 2010 response to AESO information request.
4. AESO letter to Canadian Natural Resources Ltd. dated July 7, 2010 notifying the referral of the matter to the MSA.
5. Canadian Natural Resources Ltd. August 18, 2010 email to the MSA.

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: 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:	"Original Signed"	Signature Date:	August 24, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 19, 2010

Payment Due Date: September 20, 2010

MSA File Number:	2010-063	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	TransAlta Energy Marketing Corp.		
Asset ID (if applicable):	TEBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 28, 2010
Date of Referral/Self Report:	July 21, 2010	This is the fourth contravention by this asset for this rule within a rolling 12 month period. See MSA Files 2009-079, 2009-097 and 2009-098.	

EVENT DETAILS

On May 28, 2010 an offer restatement was submitted for the TEBC asset at 07:50 which increased the available capability (AC) for the asset within the T-2 window for May 28, 2010 for HE 9. This restatement had the effect of increasing the AC value from 25 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 offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 AC restatement data for the TEBC asset for May 28, 2010.
2. AESO Information Request to TransAlta Energy Marketing Corp. dated July 14, 2010.
3. TransAlta Energy Marketing Corp July 14, 2010 response to AESO information request.
4. AESO letter to TransAlta Energy Marketing Corp dated July 21, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	August 20, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 9, 2010 Payment Due Date: October 11, 2010

MSA File Number:	2010-071	Specified Penalty Amount:	\$ 500
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	April 26, 2010
Date of Referral/Self Report:	August 12, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 26, 2010 the offer Available Capability (AC) value for MOBC import asset was 50 MW for HE 22. For this same hour, the sum of the import e-tag quantities was 43 MW. This was a discrepancy of 7 MW. Rule 6.3.3 requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered volume data for the MOBC asset for April 26, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated July 15, 2010.
3. Morgan Stanley Capital Group July 30, 2010 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated August 12, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	September 9, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 9, 2010

Payment Due Date: October 11, 2010

MSA File Number:	2010-073	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 15, 2010
Date of Referral/Self Report:	August 12, 2010	This is the 2nd contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 14, 2010 an offer restatement was submitted for the MOBC asset at 23:18 which increased the available capability (AC) for the asset within the T-2 window for May 15, 2010 for HE 2. 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 offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 the MOBC asset for May 14, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated July 15, 2010.
3. Morgan Stanley Capital Group July 30, 2010 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated August 12, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	September 9, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 9, 2010

Payment Due Date: October 11, 2010

MSA File Number:	2010-074	Specified Penalty Amount:	\$ 3,000
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 19, 2010
Date of Referral/Self Report:	August 12, 2010	This is the 3rd contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 19, 2010 the offer Available Capability (AC) value for MOBC import asset was 25 MW for HE 13. For this same hour, the sum of the import e-tag quantities was 0 MW. This was a discrepancy of 25 MW. Rule 6.3.3 requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered volume data for the MOBC asset for May 19, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated July 15, 2010.
3. Morgan Stanley Capital Group July 30, 2010 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated August 12, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	September 9, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 9, 2010

Payment Due Date: October 11, 2010

MSA File Number:	2010-075	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 21, 2010
Date of Referral/Self Report:	August 12, 2010	This is the 4th contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 21, 2010 an offer restatement was submitted for the MOBC asset at 22:22 which increased the available capability (AC) for the asset within the T-2 window for May 21, 2010 for HE 24. 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 offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 the MOBC asset for May 21, 2010.
2. Morgan Stanley Capital Group June 24, 2010 response to AESO's clarification request.
3. AESO Information Request to Morgan Stanley Capital Group dated July 15, 2010.
4. Morgan Stanley Capital Group July 30, 2010 response to AESO information request.
5. AESO letter to Morgan Stanley Capital Group dated August 12, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	September 9, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 21, 2010

Payment Due Date: November 22, 2010

MSA File Number:	2010-081	Specified Penalty Amount:	\$ 500
Market Participant Name:	Sempra Energy Trading LLC		
Asset ID (if applicable):	SEBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 12, 2010.
Date of Referral/Self Report:	September 20, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 12, 2010 the offer Available Capability (AC) value for SEBC import asset was 25 MW for HE 10-17. For these same hours, the sum of the import e-tag quantities was 0 MW. This was a discrepancy of 25 MW. Rule 6.3.3 requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered volume data for the SEBC asset for May 12, 2010.
2. AESO Information Request to Sempra Energy Trading LLC dated August 4, 2010.
3. Sempra Energy Trading LLC August 19, 2010 response to AESO information request.
4. AESO email to Sempra Energy Trading LLC dated September 8, 2010.
5. Sempra Energy Trading LLC September 14, 2010 email response to the AESO.
6. AESO letter to Sempra Energy Trading LLC dated September 20, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	October 21, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 21, 2010

Payment Due Date: November 22, 2010

MSA File Number:	2010-082	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Sempra Energy Trading LLC		
Asset ID (if applicable):	SEBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 13, 2010.
Date of Referral/Self Report:	September 20, 2010	This is the 2nd contravention by this asset for this rule within a rolling 12 month period. See MSA file 2010-081.	

EVENT DETAILS

On May 13, 2010 the offer Available Capability (AC) value for SEBC import asset was 50 MW for HE 14-17. For these same hours, the sum of the import e-tag quantities was 0 MW. This was a discrepancy of 50 MW. Rule 6.3.3 requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered volume data for the SEBC asset for May 13, 2010.
2. AESO Information Request to Sempra Energy Trading LLC dated August 4, 2010.
3. Sempra Energy Trading LLC August 19, 2010 response to AESO information request.
4. AESO email to Sempra Energy Trading LLC dated September 8, 2010.
5. Sempra Energy Trading LLC September 14, 2010 email response to the AESO.
6. AESO letter to Sempra Energy Trading LLC dated September 20, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	October 21, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 21, 2010

Payment Due Date: November 22, 2010

MSA File Number:	2010-085	Specified Penalty Amount:	\$ 1, 500
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	PWBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	June 5, 2010
Date of Referral/Self Report:	September 14, 2010	This is the 2nd contravention by this asset for this rule within a rolling 12 month period. See MSA file 2010-055	

EVENT DETAILS

On June 5, 2010 the offer Available Capability (AC) value for PWBC import asset was 250 MW for HE 1. For this same hour, the sum of the import e-tag quantities was 370 MW. This was a discrepancy of 120 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered volume data for the PWBC asset for June 5, 2010.
2. AESO Information Request to Powerex Corp. dated August 12, 2010.
3. Powerex Corp. August 18, 2010 response to AESO information request.
4. AESO letter to Powerex Corp. dated September 14, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	October 21, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 1, 2010

Payment Due Date: December 1, 2010

MSA File Number:	2010-088	Specified Penalty Amount:	\$ 500
Market Participant Name:	Irrigation Canal Power Cooperative Ltd.		
Asset ID (if applicable):	ICP1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	July 24 to July 26, 2010
Date of Referral/Self Report:	October 6, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 24, 2010 at 22:30 the ICP1 asset, due to operational problems, tripped off-line and could no longer meet its 7 MW dispatch. The asset came back on line at approximately 11:26 on July 26, 2010, approximately 36 hours and 54 minutes after the trip. The available capability (AC) for the asset remained at 7 MW for the 36 hours and 54 minutes the asset was off-line. Section 3.5.3.2 (a) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability."

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.

MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the ICP1 asset for July 24 to July 26, 2010.
2. AESO Information Request to Irrigation Canal Power Cooperative Ltd. dated September 9, 2010.
3. Irrigation Canal Power Cooperative Ltd. September 23, 2010 response to AESO information request.
4. AESO letter to Irrigation Canal Power Cooperative Ltd. dated October 6, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	November 1, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 2, 2010

Payment Due Date: January 5, 2011

MSA File Number:	2010-093	Specified Penalty Amount:	\$ 3, 000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	PWBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	July 6, 2010
Date of Referral/Self Report:	October 19, 2010	This is the 3rd contravention by this asset for this rule within a rolling 12 month period. See MSA files 2010-055 and 2010-085	

EVENT DETAILS

On July 5, 2010 an offer restatement was submitted for the PWBC asset at 23:55 for HE1 on July 6, 2010 which increased the available capability (AC) for the asset within the T-2 window. This restatement had the effect of increasing the AC value from 0 to 185 MW. The intended import had inadvertently been entered into the Energy Trading System as an export offer under a different asset ID ahead of the T-2 window. Powerex Corp. recognized the discrepancy between scheduled flow (e-tag) and offer prior to the delivery hour prompting restatement of the import offer from 0 MW to 185 MW and restatement of the export offer from 185 MW to 0 MW both for HE 1. 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 sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 the PWBC asset for July 5, 2010.
2. AESO Information Request to Powerex Corp. dated October 6, 2010.
3. Powerex Corp. October 8, 2010 response to AESO information request.
4. AESO letter to Powerex Corp. dated October 19, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	December 2, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 2, 2010

Payment Due Date: January 5, 2011

MSA File Number:	2010-094	Specified Penalty Amount:	\$ 5, 000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	PWBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	July 10, 2010
Date of Referral/Self Report:	October 19, 2010	This is the 4th contravention by this asset for this rule within a rolling 12 month period. See MSA files 2010-055, 2010-085 and 2010-093	

EVENT DETAILS

On July 9, 2010 an offer restatement was submitted for the PWBC asset at 22:28 which increased the available capability (AC) for the asset within the T-2 window for July 10, 2010 for HE 1. This restatement had the effect of increasing the AC value from 0 to 200 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 sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 the PWBC asset for July 9, 2010.
2. AESO Information Request to Powerex Corp. dated October 6, 2010.
3. Powerex Corp. October 8, 2010 response to AESO information request.
4. AESO letter to Powerex Corp. dated October 19, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	December 2, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 16, 2010

Payment Due Date: January 19, 2011

MSA File Number:	2010-099	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransAlta Generation Partnership		
Asset ID (if applicable):	BOW1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	July 21, 2010
Date of Referral/Self Report:	November 1, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 21, 2010 at 09:47 the BOW1 asset accepted a dispatch to provide 28 MW of Regulating Reserves, 36 MW of Spinning Reserve (SR), 62 MW of Supplemental Reserve Generation (SUPG) and 105 MW of energy, commencing at 10:00. At 10:20:42 on July 21, 2010, the AESO issued a directive for the BOW1 asset for the 62 MW of SUPG and 36 MW of SR. The BOW1 asset did not meet the required generation for approximately 7 minutes. The directive for 62 MW of SUPG was cancelled at 10:39:38 and the directive for the 36 MW of SR was cancelled at 11:10:54. Rule 6.5.3 states spinning reserve, supplemental reserve generation and supplemental reserve load (SR, SUPG, SUPL)- The amount of MW stated in the ancillary service dispatch will be provided within 10 minutes of an ancillary service directive unless there is immediate risk to personnel or equipment safety.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.5.3.

MATERIAL FACTS

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

1. Generation and dispatch data for the BOW1 asset for July 21, 2010.
2. AESO Information Request to TransAlta Generation Partnership dated October 5, 2010.
3. TransAlta Generation Partnership October 18, 2010 response to AESO information request.
4. AESO letter to TransAlta Generation Partnership dated November 1, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	December 16, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 17, 2010

Payment Due Date: January 19, 2011

MSA File Number:	2010-103	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	August 17, 2010
Date of Referral/Self Report:	November 15, 2010	This is the 5th contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 17, 2010 an offer restatement was submitted for the MOBC asset at 7:27 for HE 8 which increased the available capability (AC) for the asset within the T-2 window. 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 sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 the MOBC asset for August 17, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated October 14, 2010.
3. Morgan Stanley Capital Group October 27, 2010 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated November 15, 2010 notifying the referral of the matter to the MSA.
5. Morgan Stanley Capital Group December 13, 2010 response to the MSA's email dated December 9, 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 (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: 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:	"Original Signed"	Signature Date:	December 17, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 3, 2011

Payment Due Date: March 7, 2011

MSA File Number:	2010-117	Specified Penalty Amount:	\$ 10,000
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 16, 2010
Date of Referral/Self Report:	December 1, 2010	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At approximately 08:20 the SCL1 asset reached its generating steady state of 34 MW. During the period from 08:30 to 09:30 the SCL1 asset generated at a level up to approximately 13 MW outside of its allowable dispatch variance of 5 MW for 6 10 minute clock periods. Section 6.6.2(a) of ISO rule 6.6 requires that the average quantity (MW) delivered by a generating asset in any 10 minute clock period must not vary from the energy market dispatch quantity (MW) by more than the ADV.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for SCL1 asset on August 16, 2010.
2. AESO Information Request to Syncrude Canada Ltd. dated October 5, 2010.
3. Syncrude Canada Ltd. October 20, 2010 response to AESO information request.
4. AESO letter to Syncrude Canada dated December 1, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	February 3, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 17, 2010

Payment Due Date: January 21, 2011

MSA File Number:	2010-118	Specified Penalty Amount:	\$ 500
Market Participant Name:	The Manitoba Hydro-Electric Board		
Asset ID (if applicable):	MASK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	August 24, 2010
Date of Referral/Self Report:	December 2, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 24, 2010 an offer restatement was submitted for the MASK asset at 2:52 for HE 3-5 which increased the available capability (AC) for the asset within the T-2 window. This restatement had the effect of increasing the AC value from 25 to 29 MW for HE 3 and HE 5 and increasing the AC value from 25 to 28 MW for HE 4. 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 sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered 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 the MASK asset for August 24, 2010.
2. AESO Information Request to the Manitoba Hydro-Electric Board dated October 14, 2010.
3. The Manitoba Hydro-Electric Board October 28, 2010 response to AESO information request.
4. AESO letter to the Manitoba Hydro-Electric Board dated December 2, 2010 notifying the referral of the matter to the MSA.
5. The Manitoba Hydro-Electric Board December 7, 2010 response to the MSA's email dated December 7, 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 (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: 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:	"Original Signed"	Signature Date:	December 17, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 17, 2010

Payment Due Date: January 19, 2011

MSA File Number:	2010-119	Specified Penalty Amount:	\$ 500
Market Participant Name:	Talisman Energy Canada (Edson)		
Asset ID (if applicable):	TLM2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	September 2, 2010
Date of Referral/Self Report:	December 3, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 2, 2010 the TLM2 asset received three 6 MW dispatches effective at 16:00. These ADaMS dispatches were neither accepted nor rejected within the required 2 minute time period. OPP 102 requires that pool participants must respond to ADaMS energy market dispatches within the required time as described in OPP 003.2. OPP 003.2 stipulates this required time is 2 minutes for all Participants with a total capacity offer of greater than or equal to 2 MW and bids or offers in the energy market merit order.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of OPP 102.

MATERIAL FACTS

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

1. AESO dispatch data for TLM2 asset on September 2, 2010.
2. AESO Information Request to Canadian Talisman Energy Canada (Edson) dated November 5, 2010.
3. Talisman Energy Canada (Edson) November 24, 2010 response to AESO information request.
4. AESO letter to Talisman Energy Canada (Edson) dated December 3, 2010 notifying the referral of the matter to the MSA.
5. Talisman Energy Canada (Edson) December 8, 2010 response to the MSA's email dated December 7, 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 (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: 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:	<i>"Original Signed"</i>	Signature Date:	December 17, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 17, 2010

Payment Due Date: January 19, 2011

MSA File Number:	2010-120	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Talisman Energy Canada (Edson)		
Asset ID (if applicable):	TLM2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	September 27, 2010
Date of Referral/Self Report:	December 3, 2010	This is the 2nd contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 26, 2010 the TLM2 asset received two 10 MW dispatches effective at 00:00 on September 27, 2010. These ADaMS dispatches were neither accepted nor rejected within the required 2 minute time period. OPP 102 requires that pool participants must respond to ADaMS energy market dispatches within the required time as described in OPP 003.2. OPP 003.2 stipulates this required time is 2 minutes for all Participants with a total capacity offer of greater than or equal to 2 MW and bids or offers in the energy market merit order.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of OPP 102.

MATERIAL FACTS

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

1. AESO dispatch data for TLM2 asset on September 26, 2010, effective for September 27, 2010.
2. AESO Information Request to Canadian Talisman Energy Canada (Edson) dated November 5, 2010.
3. Talisman Energy Canada (Edson) November 24, 2010 response to AESO information request.
4. AESO letter to Talisman Energy Canada (Edson) dated December 3, 2010 notifying the referral of the matter to the MSA.
5. Talisman Energy Canada (Edson) December 8, 2010 response to the MSA's email dated December 7, 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 (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: 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:	<i>"Original Signed"</i>	Signature Date:	December 17, 2010
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 3, 2011

Payment Due Date: March 7, 2011

MSA File Number:	2010-129	Specified Penalty Amount:	\$ 500
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	PWSK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	August 18, 2010
Date of Referral/Self Report:	December 17, 2010	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 18, 2010 the offer Available Capability (AC) value for PWSK import asset was 58 MW for HE 24. For this same hour, the sum of the import e-tag quantities was 89 MW. This was a discrepancy of 31 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 the PWSK asset for August 18, 2010.
2. AESO Information Request to Powerex Corp. dated December 8, 2010.
3. Powerex Corp. December 10, 2010 response to AESO information request.
4. AESO letter to Powerex Corp. dated December 17, 2010 notifying the referral of the matter to the MSA.

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: 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:	"Original Signed"	Signature Date:	February 3, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 9, 2010

Payment Due Date: May 10, 2010

MSA File Number:	2010-015	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	December 22, 2009
Date of Referral/Self Report:	March 19, 2010	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 22, 2009 SCL1 asset was generating in steady state from approximately 20:08 until 22:49 at 28 MW. Between the period 22:50 and 23:59:59 the SCL1 asset generated at a level up to 36 MW outside of its allowable dispatch variance (ADV) of 5 MW for 7 ten minute clock periods. Section 6.6.2(a) of ISO rule 6.6 requires that the average quantity (MW) delivered by a generating asset in any 10 minute clock period must not vary from the energy market dispatch quantity (MW) by more than the ADV.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for SCL1 asset on December 22, 2009.
2. AESO Information Request to Syncrude Canada Ltd. dated February 12, 2010.
3. Syncrude Canada Ltd. February 26, 2010 response to AESO information request.
4. AESO letter to Syncrude Canada dated March 19, 2010 notifying the referral of the matter to the MSA.

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 shall 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.

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:	<i>"Originally Signed"</i>	Signature Date:	April 9, 2010
Name:	Matt Ayres	Title:	Chief Economist

February 26, 2010

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 # 2010-006
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SCL1 – September 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 notice of specified penalty 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 September 17, 2009 at 07:06 the SCL1 asset received a dispatch down to 35 MW. Between 07:06 and 07:46 the AESO found the SCL1 unit to be generating up to 20 MW outside its allowable dispatch variance. At 07:46 the SCL1 asset received a dispatch up to 42 MW. At the time of the second dispatch, the AESO found the SCL1 asset to be generating at approximately 60 MW. At 07:56, ten minutes after the dispatch, the SCL1 asset was still generating at approximately 60 MW. The asset did not reach a steady state of 42 MW. Generation dropped below 42 MW and was generating outside its allowable dispatch variance for most, or all, of the period from 07:46 until approximately 09:15 when the unit was dispatched to 0 MW.

Process

The AESO referred this event to the MSA on February 4, 2010 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 September 17, 2009.
2. AESO Information Request to Syncrude Canada Ltd. dated December 9, 2009
3. Syncrude Canada Ltd. January 9, 2010 response to AESO information request.
4. AESO Information clarification email to Syncrude Canada Ltd. dated January 18, 2010
5. Syncrude Canada Ltd. January 26, 2010 response to AESO information clarification email.
6. AESO letter to Syncrude Canada Ltd dated February 4, 2010 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 March 29, 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 or 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

February 26, 2010

Delivered via e-mail to: Marvin.Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd 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 # 2010-007
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – October 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). 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 notice of specified penalty 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 2, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 05:56 which decreased the DDS offer from 34 MW to 25 MW for the asset within the T-2 window for October 2, 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 February 11, 2010 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 October 2, 2009.
2. AESO Information Request to Nexen Inc. and Encana Corp. dated January 22, 2010.
3. Nexen Inc. February 2, 2010 response to AESO information request.
4. AESO letter to Nexen Inc. and Encana Corp. dated February 11, 2010 notifying the referral of the matter to the MSA.

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 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 March 29, 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 or 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 Marilyn Prentice, Board Executive Assistant – Encana
Susan Schulli – Nexen
Ed Hucman - Nexen
Rod Crockford - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

March 9, 2010

Delivered via e-mail to: dean_luciuk@transalta.com

TransAlta Energy Marketing Corp
110 – 12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Mr. Dean Luciuk, Vice President, Trading & Operations

Dear Mr. Luciuk:

**Re: MSA File # 2010-008
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
TEEA – August 3, 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 notice of specified penalty for non-compliance by the TEEA asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On August 3, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation export (TEEA) asset was 116 MW for HE 2. For this same hour, the sum of the export e-tag quantities was 0 MW which is a discrepancy of 116 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) 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 February 22, 2010 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 settlement data for the TEEA asset for August 3, 2009.
2. AESO Information Request to TransAlta Energy Marketing Corporation dated January 22, 2010.
3. TransAlta Energy Marketing Corporation January 29, 2010 response to AESO information request.
4. AESO letter to TransAlta Energy Marketing Corporation dated February 22, 2010 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 April 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 or 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

March 9, 2010

Delivered via e-mail to: dean_luciuk@transalta.com

TransAlta Energy Marketing Corp
110 – 12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Mr. Dean Luciuk, Vice President, Trading & Operations

Dear Mr. Luciuk:

**Re: MSA File # 2010-009
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
TEE1 – August 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 organizations a notice of specified penalty for non-compliance by the TEE1 asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On August 13, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation export (TEE1) asset was 100 MW for HE 2. For this same hour, the sum of the export e-tag quantities was 0 MW which is a discrepancy of 100 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) 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 February 22, 2010 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 settlement data for the TEE1 asset for August 13, 2009.
2. AESO Information Request to TransAlta Energy Marketing Corporation dated January 22, 2010.
3. TransAlta Energy Marketing Corporation January 29, 2010 response to AESO information request.
4. AESO letter to TransAlta Energy Marketing Corporation dated February 22, 2010 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 April 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 or 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

March 24, 2010

Delivered via e-mail to: dean_luciuk@transalta.com

TransAlta Generation Partnership
110 – 12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Mr. Dean Luciuk, Vice President, Trading & Operations

Dear Mr. Luciuk:

**Re: MSA File # 2010-013
Contravention of ISO rule 3.5.3 – Notice of Specified Penalty
WB4 – February 27, 2010**

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 WB4 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

Event

On February 27th, 2010 an energy restatement was submitted for the WB4 asset at 23:56 having impact on offered volumes in HE 1 and HE 2 for February 28th, 2010. This restatement had the effect of reducing the Available Capability (AC) value for the WB4 asset from 270 MW to 0 MW for HE 1 and HE 2. The WB4 asset came off line on February 27th during HE 15 due to an acceptable operating reason. ISO rule 3.5.3.2 states that when a pool participant has submitted an offer it must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability.

Process

This event was self reported to the MSA on March 5, 2010 as a suspected contravention of ISO rule 3.5.3 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 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement and dispatch data for the WB4 asset for February 27, 2010.
2. TransAlta Generation Partnership's self report letter dated March 5, 2010.

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 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 3.5.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than April 23, 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 or 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: Marcy Cochlan - TransAlta
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 28, 2010

Payment Due Date: May 28, 2010

MSA File Number:	2010-014	Specified Penalty Amount:	\$ 500
Market Participant Name:	Cenovus Energy Inc.		
Asset ID (if applicable):	EC04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	December 2, 2009
Date of Referral/Self Report:	March 18, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 2, 2009 at 07:22 the EC04 asset, due to operational problems, tripped off-line and could no longer meet its 41 MW dispatch. The available capability (AC) for the asset remained at 41 MW until 8:50 when the AC for the asset was restated to 8 MW and then at 9:01 the AC was restated to 0. Section 3.5.3.2 (a) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability."

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.

MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the EC04 asset for December 2, 2009.
2. AESO Information Request to Cenovus Energy Inc. dated February 12, 2010.
3. Cenovus Energy Inc. February 25, 2010 response to AESO information request.
4. AESO letter to Cenovus Energy Inc. dated March 18, 2010 notifying the referral of the matter to the MSA.

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 shall 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.

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:	"Original Signed"	Signature Date:	April 28, 2010
Name:	Matt Ayres	Title:	Chief Economist

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 6, 2010

Payment Due Date: June 7, 2010

MSA File Number:	2010-016	Specified Penalty Amount:	\$ 500
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	EMXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	September 22, 2009
Date of Referral/Self Report:	March 18, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 22, 2009 prior to 00:58 the offered Available Capability (AC) value for Capital Power Energy Marketing L.P. export (EMXB) asset for HE 1 – 3 was 100 MW. AESO settlement data indicates that for HE 1 the sum of the e-tags was 0 MW which is a discrepancy of 100 MW. At 00:58 AC for EMXB asset was restated to 0 for HE 1-3 without an acceptable operational reason. 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval. Additionally, 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 asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that 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 and settlement data for the EMXB asset for September 22, 2009.
2. AESO Information Request to Capital Power Energy Marketing L.P. dated January 22, 2010.
3. Capital Power Energy Marketing L.P. February 5, 2010 response to the AESO information request.
4. AESO letter to Capital Power Energy Marketing L.P. dated March 18, 2010 notifying the referral of the matter to the MSA.
5. Capital Power Energy Marketing L.P. letter to the MSA dated March 30, 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 (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:	<i>"Original Signed"</i>	Signature Date:	May 6, 2010
Name:	Matt Ayres	Title:	Chief Economist

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 14, 2010

Payment Due Date: May 17, 2010

MSA File Number:	2010-017	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Air Liquide Canada Inc.		
Asset ID (if applicable):	ALS1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	January 4, 2010
Date of Referral/Self Report:	March 19, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 4, 2010 ALS1 accepted an energy dispatch down to 52 MW effective at 23:12. The ALS1 asset did not move directionally toward the new dispatch level until approximately 00:12 on January 5, 2010. Section 6.6.3(a) of ISO rule 6.6 requires that in accordance with an energy market dispatch issued to a pool participant, the output of a generating asset 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for the ALS1 asset on January 4, 2010.
2. AESO Information Request to Air Liquide Canada Inc. dated February 22, 2010.
3. Air Liquide Canada Inc. February 24, 2010 response to AESO information request.
4. AESO letter to Air Liquide Canada Inc. dated March 19, 2010 notifying the referral of the matter to the MSA.

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 shall 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.

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:	<i>"Originally Signed"</i>	Signature Date:	April 14, 2010
Name:	Matt Ayres	Title:	Chief Economist

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 7, 2010

Payment Due Date: June 7, 2010

MSA File Number:	2010-019	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	ENMAX PPA Management Inc.		
Asset ID (if applicable):	BR4	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	October 22, 2009
Date of Referral/Self Report:	March 23, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 22, 2009 at 16:26:46, BR4 asset was issued an energy dispatch to move from 60 MW to 155 MW. AESO data indicates that the declared ramp rate in ETS for BR4 asset was 3.5 MW/min. The allowable dispatch variance (ADV) for BR4 asset is 5 MW. Based on the calculation found in section 6.6.3 (b) of ISO Rule 6.6, the BR4 asset was required to be generating within the ADV of its 155 MW dispatch by 17:14. The BR4 asset first reached steady state within the ADV of its 155 MW dispatch at approximately 17:31, approximately 17 minutes after its maximum allowable time. The system controller was not contacted concerning the BR4 asset during this event. Section 6.6.3(b) of ISO Rule 6.6 requires that, in accordance with an energy market dispatch issued to a pool participant, the output of a generating asset must reach generation asset steady state within a calculated time period which takes into account the declared ramp rate of the asset and the incremental energy market dispatch quantity.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for BR4 asset on October 22, 2009.
2. AESO Information Request to ENMAX PPA Management Inc. dated January 18, 2010.
3. ENMAX PPA Management Inc. February 11, 2010 response to AESO information request.
4. AESO letter to ENMAX PPA Management Inc. dated March 23, 2010 notifying the referral of the matter to the MSA.

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:	"Original Signed"	Signature Date:	June 7, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 22, 2010

Payment Due Date: May 24, 2010

MSA File Number:	2010-023	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	SD2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	January 24, 2010
Date of Referral/Self Report:	April 9, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period beginning on September 1, 2009.	

EVENT DETAILS

On January 24, 2010 the SD2 asset accepted an energy dispatch for 200 MW effective at 04:22. The information from the AESO indicates that the SD2 asset did not move directionally toward the new dispatch level until approximately 04:37. Section 6.6.3(a) of ISO rule 6.6 requires that in accordance with an energy market dispatch issued to a pool participant, the output of a generating asset 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for SD2 asset on January 24, 2010.
2. AESO Information Request to TransCanada Energy Ltd. Dated February 26, 2010.
3. TransCanada Energy Ltd. March 12, 2010 response to AESO information request.
4. AESO letter to TransCanada Energy Ltd. dated April 9, 2010 notifying the referral of the matter to the MSA.

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 shall 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.

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:	<i>"Original Signed"</i>	Signature Date:	April 22, 2010
Name:	Matt Ayres	Title:	Chief Economist

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 12, 2010

Payment Due Date: June 11, 2010

MSA File Number:	2010-027	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Dow Chemical Canada ULC		
Asset ID (if applicable):	DOWG	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	January 6, 2010
Date of Referral/Self Report:	April 9, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 6, 2010 the DOWG asset accepted an energy dispatch to move from 174 MW to 135 MW, effective at 21:36. AESO data indicates that the DOWG asset did not move directionally toward the new dispatch level for approximately 24 minutes. The DOWG asset began ramping down at 22:00 when another dispatch was issued for 118 MW. Section 6.6.3(a) of ISO rule 6.6 requires that in accordance with an energy market dispatch issued to a pool participant, the output of a generating asset 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for DOWG asset on January 6, 2010.
2. AESO Information Request to Dow Chemical Canada Inc. Dated February 26, 2010.
3. Dow Chemical Canada Inc. March 12, 2010 response to AESO information request.
4. AESO letter to Dow Chemical Canada Inc. dated April 9, 2010 notifying the referral of the matter to the MSA.

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 shall 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.

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:	"Original Signed"	Signature Date:	May 12, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 24, 2010

Payment Due Date: July 26, 2010

MSA File Number:	2010-042	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	February 26, 2010
Date of Referral/Self Report:	May 27, 2010	This is the third contravention by this asset for this rule within a rolling 12 month period. See MSA File: 2010-015 and 2010-006.	

EVENT DETAILS

On February 26, 2010 at 18:21 the SCL1 asset received a dispatch up to 70 MW from 60 MW. Between 18:21 and 18:47 the SCL1 unit did not reach generating asset steady state. At 18:47 the SCL1 unit received a dispatch up to 75 MW from 70 MW. Based on its declared ramp rate of 7.7 MW, the SCL1 asset was required to reach generating asset steady at approximately 19:03. At approximately 19:40 the SCL1 asset reached generating asset steady state, approximately 37 minutes after its maximum allowable time. From 18:47 to 19:40 the SCL1 asset generated at a level up to 10 MW outside of its allowable dispatch variance (ADV) of 5 MW. Section 6.6.3(b) of ISO Rule 6.6 requires that, in accordance with an energy market dispatch issued to a pool participant, the output of a generating asset must reach generation asset steady state within a calculated time period which takes into account the declared ramp rate of the asset and the incremental energy market dispatch quantity.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

MATERIAL FACTS

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

1. AESO Available Capability (AC), dispatch, and generation data for SCL1 asset on February 26, 2010.
2. AESO Information Request to Syncrude Canada Ltd. dated April 12, 2010.
3. Syncrude Canada Ltd. April 27, 2010 response to AESO information request.
4. AESO letter to Syncrude Canada dated May 27, 2010 notifying the referral of the matter to the MSA.

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 shall 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.

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:	<i>"Original Signed"</i>	Signature Date:	June 24, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 22, 2010

Payment Due Date: July 22, 2010

MSA File Number:	2010-043	Specified Penalty Amount:	\$ 500
Market Participant Name:	Meg Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	February 2, 2010
Date of Referral/Self Report:	May 27, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 2, 2010 at 11:31 the MEG1 asset, due to operational problems, tripped off-line and could no longer meet its 87 MW dispatch. The available capability (AC) for the asset remained at 87 MW until 22:07 when the AC for the asset was restated to 4 MW. Section 3.5.3.2 (a) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability."

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.

MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the MEG1 asset for February 2, 2010.
2. AESO Information Request to Meg Energy Corp. dated March 30, 2010.
3. Meg Energy Corp. April 13, 2010 response to AESO information request.
4. AESO letter to Meg Energy Corp. dated May 27, 2010 notifying the referral of the matter to the MSA.

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:	"Original Signed"	Signature Date:	June 22, 2010
Name:	Wayne Silk	Title:	Deputy Administrator

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 24, 2010

Payment Due Date: July 26, 2010

MSA File Number:	2010-048	Specified Penalty Amount:	\$ 500
Market Participant Name:	Cargill Energy Trading Canada		
Asset ID (if applicable):	CAXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	December 17, 2009
Date of Referral/Self Report:	May 13, 2010	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 17, 2009 the offer Available Capability (AC) value for CAXB export asset was 25 MW for HE 5. For this same hour, the sum of the export e-tag quantities was 0 MW. This was 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 (3.5.4.2) prior to the settlement interval in which the offer (bid) is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that 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 metered and offered data for the CAXB asset for December 17, 2009.
2. AESO Information Request to Cargill Energy Trading Canada dated April 12, 2010.
3. Cargill Energy Trading Canada April 26, 2010 response to the AESO information request.
4. AESO letter to Cargill Energy Trading Canada dated May 13, 2010 notifying the referral of the matter to the MSA.

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:	"Original Signed"	Signature Date:	June 24, 2010
Name:	Wayne Silk	Title:	Deputy Administrator