

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 22, 2011

Payment Due Date: March 25, 2011

MSA File Number:	2011-003	Specified Penalty Amount:	\$ 750
Market Participant Name:	Suncor Energy Inc		
Asset ID (if applicable):	SCR1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	December 17, 2010
Date of Referral/Self Report:	January 5, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 17, 2010 at approximately 07:52 the SCR1 asset accepted a net to grid directive to not exceed 138 MW. The SCR1 immediately ramped down 490 MW to comply with the system controller's directive. At 09:00 the SCR1 asset received a dispatch down to 425 MW. The SCR1 asset did not move directionally towards the new dispatch level. The SCR1 asset was out compliance until approximately 18:20, approximately 7 hours and 30 minutes. 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. Suncor Energy Inc's submitted by TransAlta Corporation dated January 5, 2011.
2. AESO Available Capability (AC), dispatch, directive and generation data for SCR1 on December 17, 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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 22, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 25, 2011

Payment Due Date: March 28, 2011

MSA File Number:	2011-006	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransAlta Generation Partnership		
Asset ID (if applicable):	BRA	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	July 22, 2010
Date of Referral/Self Report:	January 7, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 22, 2010 the BRA asset accepted a dispatch to provide 92 MW of Regulating Reserves, 90 MW of Spinning Reserve (SR), 55 MW of Supplemental Reserve Generation (SUPG) and 93 MW of energy, commencing at 12:00. At approximately 15:39 on July 22, 2010, the AESO issued a directive for the BRA asset for the 55 MW of SUPG and 90 MW of SR. The directive for 55 MW of SUPG was cancelled at approximately 15:46. From approximately 15:49 until the directive was cancelled at 15:57 the BRA asset did not meet the required generation. Rule 6.5.3 states the system controller will expect from the ancillary service providers that have accepted an ancillary service dispatch, that, when the system controller directs them to deliver an ancillary service, it will be delivered up to the ancillary service dispatched level.

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 BRA asset for July 22, 2010.
2. AESO Information Request to TransAlta Generation Partnership dated December 3, 2010.
3. TransAlta Generation Partnership December 16, 2010 response to AESO information request.
4. AESO letter to TransAlta Generation Partnership dated January 7, 2011 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 25, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 4, 2011

Payment Due Date: March 7, 2011

MSA File Number:	2011-011	Specified Penalty Amount:	\$ 500
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	September 13, 2010
Date of Referral/Self Report:	January 11, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 13, 2010 an offer restatement was submitted for the MOXB asset at 01:45 which increased the available capability (AC) for the asset within the T-2 window for September 13, 2010 for HE 3 and HE 4. This restatement had the effect of increasing the AC value from 0 to 15 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the 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 MOXB asset for September 13, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated November 4, 2010.
3. Morgan Stanley Capital Group December 8, 2010 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated January 11, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 4, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 1, 2011

Payment Due Date: March 31, 2011

MSA File Number:	2011-017	Specified Penalty Amount:	\$ 500
Market Participant Name:	Shell Energy North America (Canada) Inc.		
Asset ID (if applicable):	SHBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	September 25, 2010
Date of Referral/Self Report:	January 21, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 25, 2010 an offer restatement was submitted for the SHBC asset at 12:25 which decreased the available capability (AC) for the asset within the T-2 window for September 25, 2010 for HE 13. This restatement had the effect of decreasing the AC value from 25 to 0 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 SHBC asset for September 25, 2010.
2. AESO Information Request to Shell Energy North America (Canada) Inc. dated December 9, 2010.
3. Shell Energy North America (Canada) Inc. December 15, 2010 and January 12, 2011 responses to AESO information request.
4. AESO letter to Shell Energy North America (Canada) Inc. dated January 21, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 1, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 1, 2011

Payment Due Date: March 31, 2011

MSA File Number:	2011-018	Specified Penalty Amount:	\$ 500
Market Participant Name:	Shell Energy North America (Canada) Inc.		
Asset ID (if applicable):	SHXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	September 30, 2010
Date of Referral/Self Report:	January 21, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 30, 2010 an offer restatement was submitted for the SHXB asset at 03:02 which decreased the available capability (AC) for the asset within the T-2 window for September 30, 2010 for HE 3-6. This restatement had the effect of decreasing the AC value from 25 to 0 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 SHXB asset for September 30, 2010.
2. AESO Information Request to Shell Energy North America (Canada) Inc. dated December 9, 2010.
3. Shell Energy North America (Canada) Inc. December 15, 2010 and January 12, 2011 responses to AESO information request.
4. AESO letter to Shell Energy North America (Canada) Inc. dated January 21, 2011 notifying the referral of the matter to the MSA.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 1, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 17, 2011

Payment Due Date: April 18, 2011

MSA File Number:	2011-025	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 1, 2010
Date of Referral/Self Report:	March 15, 2011	This is the 6th contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 1, 2010 the offer Available Capability (AC) value for MOBC import asset was 25 MW for HE 24. 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 data for the MOBC asset for August 1, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated December 15, 2010.
3. Morgan Stanley Capital Group January 6, 2011 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated March 15, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 17, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 17, 2011

Payment Due Date: April 18, 2011

MSA File Number:	2011-026	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Morgan Stanley Capital Group		
Asset ID (if applicable):	MOXB	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	October 9, 2010
Date of Referral/Self Report:	March 15, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 9, 2010 the offer Available Capability (AC) value for MOXB export asset was 15 MW for HE 8. For this same hour, the sum of the import e-tag quantities was 0 MW. This was a discrepancy of 15 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 MOXB asset for October 9, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated December 15, 2010.
3. Morgan Stanley Capital Group January 6, 2011 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated March 15, 2011 notifying the referral of the matter to the MSA.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 17, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 29, 2011

Payment Due Date: April 28, 2011

MSA File Number:	2011-027	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransAlta Corporation		
Asset ID (if applicable):	ARD1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.2.2	Date of Contravention:	November 29, 2010
Date of Referral/Self Report:	February 4, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 29, 2010 between 16:26 and 20:06 the AESO System Controller made four unsuccessful attempts to contact appropriate personnel for the ARD1 wind generation facility in order to issue directives to curtail generation. Rule 6.2.2 states pool participants must provide acceptable methods of communication. Unless otherwise authorized by the ISO, each pool participant must comply with the ISO Operation Policies and Procedures' technical standards for operational voice communications and automated dispatch and messaging system. The ISO Operational Voice Communications Standard indicates that every Generation Facility Owner must provide 7X24 telephone services to the generation facilities operation authority location.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.2.2. The MSA is not pursuing the event as a violation of OPP 515.

MATERIAL FACTS

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

1. AESO phone logs for November 29, 2010.
2. AESO Information Request to TransAlta Corporation dated January 14, 2011.
3. TransAlta Corporation January 25, 2011 response to AESO information request.
4. AESO letter to TransAlta Corporation dated February 4, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 29, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 22, 2011

Payment Due Date: April 21, 2011

MSA File Number:	2011-032	Specified Penalty Amount:	\$ 1,500
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:	October 27, 2010
Date of Referral/Self Report:	February 9, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 27, 2010 an offer restatement was submitted for the PWSK asset at 04:31 which increased the available capability (AC) for the asset within the T-2 window for October 27, 2010 for HE 6. This restatement had the effect of increasing the AC value from 23 to 69 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 PWSK asset for October 27, 2010.
2. AESO Information Request to Powerex Corp. dated December 13, 2010.
3. Powerex Corp. December 28, 2010 response to AESO information request.
4. AESO letter to Powerex Corp. dated February 9, 2011 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

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

SIGNATURE

Signature:		Signature Date:	March 22, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 22, 2011

Payment Due Date: April 21, 2011

MSA File Number:	2011-036	Specified Penalty Amount:	\$ 500
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	ECBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	November 19, 2010
Date of Referral/Self Report:	February 14, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 19, 2010 an offer restatement was submitted for the ECBC asset at 11:53 which increased the available capability (AC) for the asset within the T-2 window for November 19, 2010 for HE 13. This restatement had the effect of increasing the AC value from 200 to 210 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 ECBC asset for November 19, 2010.
2. AESO Information Request to Capital Power Energy Marketing L.P. dated January 5, 2011.
3. Capital Power Energy Marketing L.P. January 20, 2011 response to AESO information request.
4. AESO letter to Capital Power Energy Marketing L.P. dated February 14, 2011 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 22, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 29, 2011

Payment Due Date: May 30, 2011

MSA File Number:	2011-047	Specified Penalty Amount:	\$ 750
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	ECBC	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	January 26, 2011
Date of Referral/Self Report:	February 25, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 26, 2011 an offer restatement was submitted for the ECBC asset at 06:05 which decreased the available capability (AC) for the asset within the T-2 window for January 26, 2011 for HE 8. This restatement had the effect of decreasing the AC value from 300 to 0 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that 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. Capital Power Energy Marketing L.P self report dated February 25, 2011.
2. AESO restatement data for the ECBC asset for January 26, 2011

DELIVERY OF PAYMENT

Payment by cheque or 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 29, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 29, 2011

Payment Due Date: May 30, 2011

MSA File Number:	2011-048	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	ECBC	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	January 27, 2011
Date of Referral/Self Report:	February 25, 2011	This is the third contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 27, 2011 an offer restatement was submitted for the ECBC asset at 11:42 which decreased the available capability (AC) for the asset within the T-2 window for January 27, 2011 for HE 13. This restatement had the effect of decreasing the AC value from 50 to 0 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that 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. Capital Power Energy Marketing L.P self report dated February 25, 2011.
2. AESO restatement data for the ECBC asset for January 27, 2011

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 29, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 29, 2011

Payment Due Date: April 28, 2011

MSA File Number:	2011-049	Specified Penalty Amount:	\$ 2,500
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:	December 26, 2010
Date of Referral/Self Report:	March 3, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 26, 2010 ALS1 received an energy dispatch down to 49 MW effective at 00:34. The ALS1 asset did not move directionally toward the new dispatch level within 10 minutes and continued to generate at the prevailing level until approximately 07:00. 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 December 26, 2010.
2. AESO Information Request to Air Liquide Canada Inc. dated February 1, 2011.
3. Air Liquide Canada Inc. February 16, 2011 response to AESO information request.
4. AESO letter to Air Liquide Canada Inc. dated March 3, 2011 notifying the referral of the matter to the MSA

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 29, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 17, 2011

Payment Due Date: April 18, 2011

MSA File Number:	2011-054	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:	October 2, 2010
Date of Referral/Self Report:	March 15, 2011	This is the 7th contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 2, 2010 the offer Available Capability (AC) value for MOBC import asset was 0 MW for HE 5. For this same hour, the sum of the import e-tag quantities was 15 MW. This was a discrepancy of 15 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 MOBC asset for October 2, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated December 15, 2010.
3. Morgan Stanley Capital Group January 6, 2011 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated March 15, 2011 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 17, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 17, 2011

Payment Due Date: April 18, 2011

MSA File Number:	2011-055	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:	October 4, 2010
Date of Referral/Self Report:	March 15, 2011	This is the 8th contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 4, 2010 the offer Available Capability (AC) value for MOBC import asset was 15 MW for HE 12. For this same hour, the sum of the import e-tag quantities was 0 MW. This was a discrepancy of 15 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 MOBC asset for October 4, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated December 15, 2010.
3. Morgan Stanley Capital Group January 6, 2011 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated March 15, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 17, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 17, 2011

Payment Due Date: April 18, 2011

MSA File Number:	2011-057	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:	October 11, 2010
Date of Referral/Self Report:	March 15, 2011	This is the 9th contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 11, 2010 the offer Available Capability (AC) value for MOBC import asset was 15 MW for HE 24. For this same hour, the sum of the import e-tag quantities was 0 MW. This was a discrepancy of 15 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 MOBC asset for October 11, 2010.
2. AESO Information Request to Morgan Stanley Capital Group dated December 15, 2010.
3. Morgan Stanley Capital Group January 6, 2011 response to AESO information request.
4. AESO letter to Morgan Stanley Capital Group dated March 15, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 17, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 5, 2011

Payment Due Date: June 6, 2011

MSA File Number:	2011-068	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	October 25, 2010
Date of Referral/Self Report:	March 22, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 24, 2010 at approximately 23:38 the MEG1 asset accepted an advanced energy dispatch for 75 MW effective at 00:00 on October 25, 2010. The MEG1 asset did not move directionally towards the new dispatch level. The MEG1 asset was out compliance until approximately 01:25, approximately 1 hour and 25 minutes. 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, generation and dispatch data for the MEG1 asset for October 24 and October 25, 2010.
2. AESO Information Request to MEG Energy Corp. dated December 9, 2010.
3. MEG Energy Corp. December 20, 2010 response to AESO information request.
4. AESO letter to MEG Energy Corp. dated March 22, 2011 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 5, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 11, 2011

Payment Due Date: June 13, 2011

MSA File Number:	2011-077	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Cenovus FCCL Ltd.		
Asset ID (if applicable):	EC04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	January 21, 2011
Date of Referral/Self Report:	April 4, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 21, 2011 at approximately 23:51 the EC04 asset accepted an energy dispatch to move from 20 MW to 44 MW effective at 00:00 on January 22, 2011. At approximately 23:20 the EC04 asset began to ramp ahead of the energy dispatch. The EC04 asset generated outside of its ADV of 5 MW for four 10 minute clock periods between 23:20 and 00:00. 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, generation and dispatch data for the EC04 asset for January 21, 2011 and January 22, 2011.
2. AESO Information Request to Cenovus Energy Inc. dated March 3, 2011.
3. Cenovus Energy Inc. March 15, 2011 response to AESO information request.
4. AESO letter to Cenovus Energy Inc. dated April 4, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 11, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 11, 2011

Payment Due Date: June 13, 2011

MSA File Number:	2011-078	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	Cenovus FCCL Ltd.		
Asset ID (if applicable):	EC04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	January 24, 2011
Date of Referral/Self Report:	April 4, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 24, 2011 at approximately 00:04 the EC04 asset accepted an energy dispatch to move from 40 MW to 82 MW for immediate effect. The EC04 asset did move directionally towards the new dispatch level but failed to reach generating asset steady state due to a unit trip. AESO data indicates that the declared ramp rate in ETS for EC04 was 4 MW/min. The allowable dispatch variance (ADV) for the EC04 asset is 5 MW. Based on the calculation within section 6.6.3(b) of ISO Rule 6.6, the EC04 asset was required to be generating within the ADV of its dispatch by 00:30. The EC04 asset was out compliance until the available capability was restated at approximately 01:01. 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, generation and dispatch data for the EC04 asset for January 24, 2011.
2. AESO Information Request to Cenovus Energy Inc. dated March 2, 2011.
3. Cenovus Energy Inc. March 15, 2011 response to AESO information request.
4. AESO letter to Cenovus Energy Inc. dated April 4, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 11, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 29, 2011

Payment Due Date: May 30, 2011

MSA File Number:	2011-079	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	ECBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	December 30, 2010
Date of Referral/Self Report:	April 4, 2011	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 30, 2010 an offer restatement was submitted for the ECBC asset at 10:44 which decreased the available capability (AC) for the asset within the T-2 window for December 30, 2010 for HE 11. This restatement had the effect of decreasing the AC value from 300 to 0 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that 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 ECBC asset for December 30, 2010.
2. AESO Information Request to Capital Power Energy Marketing L.P. dated February 16, 2011.
3. Capital Power Energy Marketing L.P. March 3, 2011 response to AESO information request.
4. AESO letter to Capital Power Energy Marketing L.P. dated April 4, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 29, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 29, 2011

Payment Due Date: May 30, 2011

MSA File Number:	2011-080	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Capital Power Energy Marketing L.P.		
Asset ID (if applicable):	ECBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	December 30, 2010
Date of Referral/Self Report:	April 4, 2011	This is the fifth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 30, 2010 an offer restatement was submitted for the ECBC asset at 13:33 which decreased the available capability (AC) for the asset within the T-2 window for December 30, 2010 for HE 14. This restatement had the effect of decreasing the AC value from 300 to 0 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the 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.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that 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 ECBC asset for December 30, 2010.
2. AESO Information Request to Capital Power Energy Marketing L.P. dated February 16, 2011.
3. Capital Power Energy Marketing L.P. March 3, 2011 response to AESO information request.
4. AESO letter to Capital Power Energy Marketing L.P. dated April 4, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:		Signature Date:	April 29, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 11, 2011

Payment Due Date: June 13, 2011

MSA File Number:	2010-081	Specified Penalty Amount:	\$ 1,500
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:	January 21, 2011
Date of Referral/Self Report:	April 4, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period. See file 2010-056.	

EVENT DETAILS

On January 21, 2011 the offer Available Capability (AC) value for ESBC import asset was 0 MW for HE 17. For this same hour, the sum of the import e-tag quantities was 100 MW. 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 eTag volume and offered volume data for the ESBC asset for January 21, 2011.
2. AESO Information Request to TransCanada Energy Sales Ltd. dated March 17, 2011.
3. TransCanada Energy Sales Ltd. March 30, 2011 response to the AESO information request.
4. AESO letter to TransCanada Energy Sales Ltd. dated April 4, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 11, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 6, 2011

Payment Due Date: July 6, 2011

MSA File Number:	2011-100	Specified Penalty Amount:	\$ 250
Market Participant Name:	EnCana Corporation		
Asset ID (if applicable):	EC01	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	April 22, 2011
Date of Referral/Self Report:	May 12, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 22, 2011 at 22:45 the EC01 asset accepted a dispatch to provide 14 MW of Supplemental Reserve Generation (SUPG), effective at 23:00. At approximately 23:19: 48 on April 22, 2011, the AESO issued a directive for the EC01 asset for the 14 MW of SUPG. The EC01 asset did not meet the required generation until approximately 23:33:20, approximately 13 minutes and 30 seconds after the directive was issued. The directive for 14 MW of SUPG was cancelled at 23:33:40. 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 EC01 asset for April 22, 2011.
2. EnCana Corporation self report to the MSA dated May 12, 2011.
3. Email from EnCana Corporation to the MSA date May 13, 2011.

DELIVERY OF PAYMENT

Payment by cheque or 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 6, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 27, 2011

Payment Due Date: July 27, 2011

MSA File Number:	2011-110	Specified Penalty Amount:	\$ 500
Market Participant Name:	Milner Power Limited Partnership by its General Partner Milner Power Inc.		
Asset ID (if applicable):	HRM	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	May 16 & May 18 - 20, 2011
Date of Referral/Self Report:	May 25, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 16, 2011 during HE 1 to HE 3 and all hours for May 18 to May 20 2011, the HRM asset was offline. However, the available capability for the HRM asset was stated at 144 MW during these same periods. 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 HRM asset for May 16 & May 18 to 20, 2011.
2. Milner Power Limited Partnership by its General Partner Milner Power Inc.'s email dated May 25, 2011 in response to MSA's May 24, 2011 phone call.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc.'s May 25, 2011 submission to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 27, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 30, 2011

Payment Due Date: August 2, 2011

MSA File Number:	2011-117	Specified Penalty Amount:	\$ 500
Market Participant Name:	ATCO Power (Poplar/Rainbow)		
Asset ID (if applicable):	VVW1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.4.3	Date of Contravention:	January 30, 2011
Date of Referral/Self Report:	May 31, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 29, 2011 at 23:53 the VVW1 asset accepted a dispatch to provide 35 MW of Spinning Reserve (SR), effective at 00:00 on January 30, 2011. On January 30, 2011 at 00:53 the VVW1 asset accepted a dispatch to provide 35 MW of Spinning Reserve (SR), effective at 1:00 on January 30, 2011. Between 00:00 and 01:23 VVW1 was not synchronized to the grid. ISO Rule 6.4.3(b) states acceptance of the ancillary service dispatch by the ancillary service provider is a commitment to provide the ancillary service requested by the system controller from the asset at the ancillary service dispatched capability. The owner of a facility retains the right to operate his facility as it deems prudent consistent with good electric operating practices.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.4.3.

MATERIAL FACTS

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

1. Generation and dispatch data for the VVW1 asset for January 29 & 30, 2011.
2. AESO Information Request to ATCO Power (Poplar/Rainbow) dated March 28, 2011.
3. ATCO Power (Poplar/Rainbow) April 8, 2011 response to the AESO information request.
4. AESO letter to ATCO Power (Poplar/Rainbow) dated May 31, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 30, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 30, 2011

Payment Due Date: August 2, 2011

MSA File Number:	2011-118	Specified Penalty Amount:	\$ 500
Market Participant Name:	ATCO Power (Poplar/Rainbow)		
Asset ID (if applicable):	VVW2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.4.3	Date of Contravention:	January 30, 2011
Date of Referral/Self Report:	May 31, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 29, 2011 at 23:53 the VVW2 asset accepted a dispatch to provide 3 MW of Spinning Reserve (SR), effective at 00:00 on January 30, 2011. On January 30, 2011 at 00:53 the VVW2 asset accepted a dispatch to provide 13 MW of Spinning Reserve (SR), effective at 1:00 on January 30, 2011. Between 00:00 and 01:23 VVW2 was not synchronized to the grid. ISO Rule 6.4.3(b) states acceptance of the ancillary service dispatch by the ancillary service provider is a commitment to provide the ancillary service requested by the system controller from the asset at the ancillary service dispatched capability. The owner of a facility retains the right to operate his facility as it deems prudent consistent with good electric operating practices.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.4.3.

MATERIAL FACTS

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

1. Generation and dispatch data for the VVW2 asset for January 29 & 30, 2011.
2. AESO Information Request to ATCO Power (Poplar/Rainbow) dated March 28, 2011.
3. ATCO Power (Poplar/Rainbow) April 8, 2011 response to the AESO information request.
4. AESO letter to ATCO Power (Poplar/Rainbow) dated May 31, 2011 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

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 30, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 25, 2011

Payment Due Date: August 25, 2011

MSA File Number:	2011-125	Specified Penalty Amount:	\$ 500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	HMT1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	March 31, 2011
Date of Referral/Self Report:	June 24, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 31, 2011 at 06:48 the HMT1 asset, due to operational problems, tripped off-line and could no longer meet its energy dispatch of 13 MW. At 06:52 the available capability of the HMT1 asset was restated to 9 MW. The asset came back on line at approximately 07:27 on March 31, 2011, approximately 39 minutes after the trip. 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 (AC), dispatch, and generation data for HMT1 asset on March 31, 2011.
2. AESO Information Request to AltaGas Ltd. Dated April 29, 2011.
3. AltaGas Ltd. May 13, 2011 response to AESO information request.
4. AESO letter to AltaGas Ltd. dated June 24, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 25, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 22, 2011

Payment Due Date: August 22, 2011

MSA File Number:	2011-126	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Nexen Inc.		
Asset ID (if applicable):	NX02	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	March 12, 2011
Date of Referral/Self Report:	June 7, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 11, 2011 at 23:48 the NX02 asset accepted an advance energy dispatch to move from 140 MW to 165 MW, effective at 00:00 on March 12, 2011. AESO data indicates that the NX02 asset did not move directionally toward the new dispatch level for approximately 32 minutes. 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 NX02 asset on March 11 & 12, 2011.
2. AESO Information Request to Nexen Inc. Dated April 29, 2011.
3. Nexen Inc. May 16, 2011 response to AESO information request.
4. AESO letter to Nexen Inc. dated June 7, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 22, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 15, 2011

Payment Due Date: October 17, 2011

MSA File Number:	2011-128	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	TC01	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 603	Date of Contravention:	April 1, 2011
Date of Referral/Self Report:	June 28, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 1, 2011 for, HE 9 to HE14, energy restatements were submitted within the T-2 window for the TC01 asset with the stated reason of "RATA testing". No testing plan was received by the AESO regarding the noted testing nor did TC01 make a real time request for approval from the System Controller before proceeding with the testing. OPP 603 of the ISO rules states that the market participant will submit a testing or commissioning plan to the ISO at outage.scheduling@aeso.ca per the following schedule: a) at least 10 days in advance for generators of capacity less than 150 MW b) at least 30 days in advance for generators of capacity equal to or greater than 150 MW.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of OPP 603

MATERIAL FACTS

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

1. AESO AC and offer data for the TC01 asset for April 1, 2011.
2. AESO Information Request to TransCanada Energy Ltd. dated May 25, 2011.
3. TransCanada Energy Ltd. June 8, 2011 response to the AESO information request.
4. AESO letter to TransCanada Energy Ltd. dated June 28, 2011 notifying the referral of the matter to the MSA.
5. TransCanada Energy Ltd email correspondence to the MSA dated July 12, 2011.
6. TransCanada Energy Ltd email correspondence to the MSA dated August 30, 2011.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 15, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 22, 2011

Payment Due Date: September 22, 2011

MSA File Number:	2011-141	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:	March 16, 2011
Date of Referral/Self Report:	July 18, 2011	This is the 4th contravention by this asset for this rule within a rolling 12 month period. See MSA files 2010-085, 2010-093 & 2010-094	

EVENT DETAILS

On March 16, 2011 an offer restatement was submitted for the PWBC asset at 17:54 for HE20 on March 16, 2011 which decreased the available capability (AC) for the asset within the T-2 window without an acceptable operating reason. This restatement had the effect of decreasing the AC value from 550 to 357 MW. At 18:22, for the same hour, an offer restatement was submitted for the PWBC asset which increased the AC from 357 MW to 374 MW. At 18:31, a third restatement was submitted for the PWBC asset which had the effect of decreasing the AC value from 374 MW to 373 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 and available capability data for the PWBC asset for March 16, 2011.
2. AESO Information Request to Powerex Corp. dated May 2, 2011.
3. Powerex Corp. May 9, 2011 response to AESO information request.
4. AESO letter to Powerex Corp. dated July 18, 2011 notifying the referral of the matter to the MSA.
5. Powerex Corp. July 20, 2011 letter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 22, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 22, 2011

Payment Due Date: September 22, 2011

MSA File Number:	2011-142	Specified Penalty Amount:	\$ 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:	3.5.5	Date of Contravention:	March 31, 2011
Date of Referral/Self Report:	July 18, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 31, 2011 a Dispatch Down Service (DDS) energy restatement was submitted for the ALS1 asset at approximately 10:22 for HE11 to HE 13 on March 31, 2011 which decreased the the DDS offer for the asset within the T-2 window without an acceptable operational reason. This restatement had the effect of decreasing the DDS offer from 30 to 0 MW. Section 3.5.5.2(a) of ISO rule 3.5.5 requires that a DDS energy restatement is permitted within two hours before the start of any settlement interval and only for 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 3.5.5.

MATERIAL FACTS

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

1. AESO DDS restatement and offer data for the ALS1 asset for March 31, 2011.
2. AESO Information Request to Air Liquide Canada Inc. dated May 12, 2011.
3. Air Liquide Canada Inc. May 27, 2011 response to AESO information request.
4. AESO letter to Air Liquide Canada Inc. dated July 18, 2011 notifying the referral of the matter to the MSA

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 22, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 23, 2011

Payment Due Date: September 23, 2011

MSA File Number:	2011-143	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransAlta Corporation		
Asset ID (if applicable):	ARD1/BTR1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 806	Date of Contravention:	March 17, 2011
Date of Referral/Self Report:	July 19, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 17, 2011 at 10:57 the AESO's system controller (SC) issued the ARD1 and BTR1 assets a reliability directive to curtail their combined generation to 105 MW net to grid generation. Asset ARD1 and BTR1 could not meet did not meet the directive for approximately 179 minutes during the time the directive was in effect. The directive was in effect from 10:57 until 22:41 on March 17, 2011. Section 4.3 of OPP 806 states that the generation facility owners must comply with SC reliability directives immediately upon receipt, and respond in accordance with good electric practice.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO OPP 806.

MATERIAL FACTS

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

1. AESO available capability, generation, dispatch data and system controller shift log for the ARD1 and BTR1 assets for March 17, 2011.
2. AESO Information Request to TransAlta Corporation dated June 3, 2011.
3. TransAlta Corporation June 16, 2011 response to AESO information request.
4. AESO letter to TransAlta Corporation dated July 19, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 23, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 31, 2011

Payment Due Date: December 1, 2011

MSA File Number:	2011-184	Specified Penalty Amount:	\$ 500
Market Participant Name:	Nexen Inc./Encana Corporation		
Asset ID (if applicable):	NX01	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 603	Date of Contravention:	April 19, 2011
Date of Referral/Self Report:	September 12, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 19, 2011 for HE 9 to 11, DDS restatements were submitted within the T-2 window for asset NX01 with the stated "RADA (RATA) testing at plant". No testing plan was received by the AESO regarding the noted testing. OPP 603 of the ISO rules states that the market participant will submit a testing or commissioning plan to the ISO at outage.scheduling@aeso.ca per the following schedule: a) at least 10 days in advance for generators of capacity less than 150 MW b) at least 30 days in advance for generators of capacity equal to or greater than 150 MW.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule OPP 603.

MATERIAL FACTS

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

1. AESO DDS restatement data for the NX01 asset on April 19, 2011.
2. AESO Information Request to Nexen Inc. and EnCana Corporation dated June 14, 2011.
3. Nexen Inc. June 29, 2011 response to AESO information request.
4. AESO letter to Nexen Inc. and Encana Corporation dated September 12, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 31, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 11, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-212	Specified Penalty Amount:	\$ 250
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ALP1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	November 15, 2011
Date of Referral/Self Report:	November 16, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 14, 2011 at 23:56 the ALP1 asset was manually dispatched for 5 MW of Supplemental Reserve Generation (SUPG), effective immediately. On November 15, 2011 at 17:58 the ALP1 asset received a directive to provide 5 MW of Supplemental Reserve Generation (SUPG), effective immediately. At the time of the directive, ALP1 was already generating near capacity and could not provide the directed reserves. At 19:15 the System Controller phoned the AltaGas control room to ask for the unit to be shut down. 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 ALP1 asset for November 15, 2011.
2. AltaGas Ltd. self report to the MSA dated November 16, 2011.

DELIVERY OF PAYMENT

Payment by cheque or 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.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 11, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 11, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-216	Specified Penalty Amount:	\$ 500
Market Participant Name:	Bowark Energy Ltd.		
Asset ID (if applicable):	DRW1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	August 15, 2011
Date of Referral/Self Report:	November 14, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 15, 2011 between 10:11 and 10:23 the DRW1 asset received four 6 MW energy dispatches effective immediately. 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 DRW1 asset on August 15, 2011.
2. AESO Information Request to Bowark Energy Ltd. dated October 4, 2011.
3. Bowark Energy Ltd. October 17, 2011 response to AESO information request.
4. AESO letter to Bowark Energy Ltd. dated November 14, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 11, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 11, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-233	Specified Penalty Amount:	\$ 500
Market Participant Name:	Alberta Pacific Forest Industries Inc.		
Asset ID (if applicable):	AFG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	August 19, 2011
Date of Referral/Self Report:	November 30, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 19, 2011 at 13:47 an energy restatement was submitted for the AFG1 asset impacting HE 15 and 16 without an acceptable operational reason. The restatement had the effect of increasing the volume in offer block 2 from 0 to 11 MW and decreasing the volume in offer block 3 to from 20 to 9 MW for both impacted hours. Section 3.5.3.2 (b) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit a revised offer for its asset redistributing the quantity (MW) to represent the operating state of the asset as soon as reasonably practicable, if all of the following conditions are met: i) the asset can no longer comply with the pool participant's current submission; ii) an energy restatement under a) cannot reasonably accommodate the asset's operating state, and iii) the pool participant can no longer submit a price restatement in accordance with rule 3.5.3.3.

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 Energy Offer Restatement data for AFG1 asset on August 19, 2011.
2. AESO Information Request to Alberta Pacific Forest Industries Inc. dated October 18, 2011.
3. Alberta Pacific Forest Industries Inc. October 31, 2011 response to AESO information request.
4. AESO letter to Alberta Pacific Forest Industries Inc. dated November 30, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 11, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 12, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-235	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:	August 16, 2011
Date of Referral/Self Report:	December 12, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 16, 2011 between 15:45 and 16:00 the TLM2 asset received four 5 MW energy 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 August 16, 2011.
2. AESO Information Request to Canadian Talisman Energy Canada (Edson) dated November 8, 2011.
3. Talisman Energy Canada (Edson) November 28, 2011 response to AESO information request.
4. AESO letter to Talisman Energy Canada (Edson) dated December 12, 2010 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 12, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 12, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-237	Specified Penalty Amount:	\$ 250
Market Participant Name:	ATCO Power (Poplar/Rainbow)		
Asset ID (if applicable):	VVW2	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	November 11, 2011
Date of Referral/Self Report:	December 9, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 11, 2011 at 06:42, the VVW2 asset accepted a dispatch for 40 MW of Supplemental Reserve Generation (SUPG) effective at 07:00. On November 11, 2011 at 20:38 the VVW2 asset received a directive to provide 40 MW of SUPG, effective immediately. From the time of the directive until the directive was cancelled at 20:51 the VVW2 asset did not meet the required generation. The VVW2 asset was generating 36 MW of the expected 40 MW of SUPG by 20:48. At 20:51, the VVW2 asset was directed off, however the VVW2 asset did not ramp back to its prior dispatch level until approximately 21:19. 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 VVW2 asset for November 11, 2011.
2. ATCO Power (Poplar/Rainbow) self report to the MSA dated December 9, 2011.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 13, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 12, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-238	Specified Penalty Amount:	\$ 250
Market Participant Name:	ATCO Power (Poplar/Rainbow)		
Asset ID (if applicable):	RB5	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	November 11, 2011
Date of Referral/Self Report:	December 9, 2011	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 11, 2011 at 06:42 the RB5 asset accepted a dispatch for 25 MW of Spinning Reserve (SR) effective at 07:00. On November 11, 2011 at 20:38 the RB5 asset received a directive to provide 25 MW of SR, effective immediately. From the time of the directive until the directive was cancelled at 20:51 the RB5 asset did not meet the required generation. The RB5 asset was generating 12 MW of the expected 25 MW of SR by 20:48. 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 RB5 asset for November 11, 2011.
2. ATCO Power (Poplar/Rainbow) self report to the MSA dated December 9, 2011.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 13, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 12, 2012

Payment Due Date: February 13, 2012

MSA File Number:	2011-239	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 5, 2011
Date of Referral/Self Report:	December 12, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 4, 2011 at approximately 23:45 the MEG1 asset accepted an energy dispatch for 0 MW effective at 00:00 on August 5, 2011. At 08:01 on August 5, 2011 a dispatch for 65 MW effective immediately was rejected for the MEG1 asset and as a result the dispatch level remained unchanged at 0 MW. However, between 8:01 and 08:30 the MEG1 asset generated outside of its allowable dispatch variance (ADV) for approximately three 10 minute clock periods. At 08:35 the MEG1 asset accepted a dispatch for 30 MW effective immediately. At the time of the dispatch the MEG1 asset was generating at approximately 22 MW. The MEG1 asset did not move directionally towards the required dispatch level until 09:38. 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, generation and dispatch data for the MEG1 asset for August 5, 2011.
2. AESO Information Request to MEG Energy Corp. dated November 11, 2011.
3. MEG Energy Corp. November 17, 2011 email to the AESO.
4. MEG Energy Corp. November 22, 2011 response to the AESO information request.
5. AESO letter to MEG Energy Corp. dated December 12, 2011 notifying the referral of the matter to the MSA.
6. MEG Energy Corp. December 13, 2011 email to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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Name:	Doug Doll	Title:	Manager Compliance