

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 5, 2012

Payment Due Date: April 4, 2012

MSA File Number:	2012-009	Specified Penalty Amount:	\$ 250
Market Participant Name:	Keyera Partnership		
Asset ID (if applicable):	PW01	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	3.6.3	Date of Contravention:	January 18 & 19, 2012
Date of Referral/Self Report:	January 19, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 18, 2012 the PW01 asset accepted a SUPG dispatch for 5 MW effective at 23:00. The PW01 asset was generating at or near its Maximum Capability of 5 MW from the effective time of the dispatch until approximately 07:00 on January 19, 2012 and as a result did not have the capability to supply the ancillary service. ISO Rule 3.6.3 states Pool participants must restate the capability of an asset, in a timely manner, if there is a material change in capability to supply the ancillary service.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.6.3.

MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the PW01 asset for January 18 & 19, 2012.
2. Self report submitted by URICA Energy Real Time Ltd. sent on January 19, 2012 but dated November 17, 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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If your 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:	March 5, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 12, 2012

Payment Due Date: May 14, 2012

MSA File Number:	2012-032	Specified Penalty Amount:	\$ 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:	OPP 102	Date of Contravention:	September 6, 2011
Date of Referral/Self Report:	February 21, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 5, 2011 between 23:49 and 23:59 the EC04 asset received 4 dispatches for 94 MW of energy effective at 00:00 on September 6, 2012. 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 ISO rule OPP 102.

MATERIAL FACTS

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

1. AESO dispatch data for the EC04 asset on September 5 and 6, 2011.
2. AESO Information Request to Cenovus Energy Inc. dated November 24, 2011.
3. Cenovus Energy Inc. December 7, 2011 response to AESO information request.
4. AESO letter to Cenovus Energy Inc. dated February 21, 2012 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:	April 12, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 26, 2012

Payment Due Date: April 26, 2012

MSA File Number:	2012-033	Specified Penalty Amount:	\$ 500
Market Participant Name:	Northstone Power Corporation		
Asset ID (if applicable):	NPC1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	September 1, 2011
Date of Referral/Self Report:	February 21, 2012	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 1, 2011 between 22:48 and 23:14 the NPC1 asset received 6 dispatches for 5 MW of energy and 0 MW of SUPG effective at 23:00. 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 NPC1 asset on September 1, 2011.
2. AESO Information Request to Northstone Power Corporation dated December 2, 2011.
3. Northstone Power Corporation December 15, 2011 response to AESO information request.
4. AESO letter to Northstone Power Corporation dated February 21, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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Signature:	"Original Signed"	Signature Date:	March 26, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 29, 2012

Payment Due Date: April 30, 2012

MSA File Number:	2012-034	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	BCR2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	September 7, 2011
Date of Referral/Self Report:	February 23, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 7, 2011 at 11:57 an energy offer restatement for the BCR2 asset was submitted impacting offered volumes for HE 13, 14 & 15. This restatement had the effect of redistributing 18 MW from block 0 to block 6 for each of HE 13, 14, & 15. As per ISO rule 3.5.3 an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

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 BCR2 asset on September 7, 2011.
2. AESO Clarification Request to TransCanada Energy Ltd. dated November 18, 2011 and response dated November 25, 2011.
3. AESO Information Request to TransCanada Energy Ltd. dated December 5, 2011.
4. TransCanada Energy Ltd. December 20, 2011 response to AESO information request.
5. AESO letter to TransCanada Energy Ltd. dated February 23, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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Signature:	"Original Signed"	Signature Date:	March 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 12, 2012

Payment Due Date: May 14, 2012

MSA File Number:	2012-043	Specified Penalty Amount:	\$ 500
Market Participant Name:	ASTC Power Partnership		
Asset ID (if applicable):	SD4	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	November 10, 2011
Date of Referral/Self Report:	March 12, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 10, 2011 at 14:51 an energy offer restatement for the SD4 asset was submitted impacting offered volumes for HE 17. This restatement had the effect of redistributing 53 MW from block 1 to block 0 for HE 17. As per ISO rule 3.5.3 an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

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 SD4 asset on September 7, 2011.
2. AESO Information Request to ASTC Power Partnership dated January 30, 2012.
3. ASTC Power Partnership February 14, 2012 response to AESO information request.
4. AESO letter to ASTC Power Partnership dated March 12, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 16, 2012

Payment Due Date: May 17, 2012

MSA File Number:	2012-048	Specified Penalty Amount:	\$ 500
Market Participant Name:	Cancarb Ltd.		
Asset ID (if applicable):	CCMH	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	October 2, 2011
Date of Referral/Self Report:	March 14, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 2, 2011 at approximately 03:41 the CCMH asset, due to operational problems, tripped off-line and could no longer meet its energy dispatch of 18 MW. At 05:11 the available capability of the CCMH 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 CCMH asset for October 2, 2011.
2. AESO Information Request to Cancarb Ltd. dated January 30, 2012.
3. Cancarb Ltd.. February 2, 2012 response to the AESO information request.
4. AESO's email to Cancarb Ltd. dated March 7, 2012 and Cancarb Ltd's March 8, 2012 response.
5. AESO letter to Cancarb Ltd. dated March 14, 2012 notifying the referral of the matter to the MSA.
6. Cancarb Ltd.'s email to the MSA dated March 20, 2012 providing further clarification to the contravention.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 16, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 16, 2012

Payment Due Date: May 17, 2012

MSA File Number:	2012-049	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:	October 14, 2011
Date of Referral/Self Report:	March 14, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 14, 2011 at approximately 18:40 the MEG1 asset, due to operational problems, tripped off-line and could no longer meet its energy dispatch of 73 MW. At 20:26 the available capability of the MEG1 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 October 14, 2011.
2. AESO Information Request to MEG Energy Corp. dated January 30, 2012.
3. MEG Energy Corp. February 8, 2012 email to the AESO and the AESO's February 8, 2012 response.
4. MEG Energy Corp. February 13, 2012 response to the AESO information request.
5. AESO letter to MEG Energy Corp. dated March 14, 2012 notifying the referral of the matter to the MSA.
6. MEG Energy Corp. March 28, 2012 email to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 16, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 25, 2012

Payment Due Date: May 25, 2012

MSA File Number:	2012-061	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:	OPP 102	Date of Contravention:	July 28, 2011
Date of Referral/Self Report:	October 24, 2011	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 28, 2011 between 23:03 and 23:10, the HRM asset received three 90 MW 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for HRM asset on July 28, 2011.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated August 17, 2011.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. September 1, 2011 response to AESO information request.
4. AESO's emails dated September 23, 2011 and October 3, 2011 to Milner Power Limited Partnership by its General Partner Milner Power Inc. and the respected responses dated September 29, 2011 and October 3, 2011.
5. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated October 24, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 25, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 25, 2012

Payment Due Date: May 25, 2012

MSA File Number:	2012-062	Specified Penalty Amount:	\$ 1,500
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:	OPP 102	Date of Contravention:	July 29, 2011
Date of Referral/Self Report:	October 24, 2011	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 29, 2011 between 08:37 and 08:50, the HRM asset received four 144 MW 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 ISO rule OPP 102

MATERIAL FACTS

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1. AESO dispatch data for HRM asset on July 29, 2011.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated August 17, 2011.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. September 1, 2011 response to AESO information request.
4. AESO's emails dated September 23, 2011 and October 3, 2011 to Milner Power Limited Partnership by its General Partner Milner Power Inc. and the respected responses dated September 29, 2011 and October 3, 2011.
5. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated October 24, 2011 notifying the referral of the matter to the MSA.

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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:	April 25, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 25, 2012

Payment Due Date: May 25, 2012

MSA File Number:	2012-066	Specified Penalty Amount:	\$ 5,000
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:	OPP 102	Date of Contravention:	July 30, 2011
Date of Referral/Self Report:	October 24, 2011	This is the third contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 30, 2011 between 19:39 and 19:44, the HRM asset received three 90 MW 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for HRM asset on July 30, 2011.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated August 17, 2011.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. September 1, 2011 response to AESO information request.
4. AESO's emails dated September 23, 2011 and October 3, 2011 to Milner Power Limited Partnership by its General Partner Milner Power Inc. and the respected responses dated September 29, 2011 and October 3, 2011.
5. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated October 24, 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:	April 25, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 25, 2012

Payment Due Date: May 25, 2012

MSA File Number:	2012-067	Specified Penalty Amount:	\$ 10,000
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:	OPP 102	Date of Contravention:	July 30, 2011
Date of Referral/Self Report:	October 24, 2011	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 30, 2011 between 20:45 and 21:35, the HRM asset received ten 130 MW dispatches effective at 21:00. 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for HRM asset on July 30, 2011.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated August 17, 2011.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. September 1, 2011 response to AESO information request.
4. AESO's emails dated September 23, 2011 and October 3, 2011 to Milner Power Limited Partnership by its General Partner Milner Power Inc. and the respected responses dated September 29, 2011 and October 3, 2011.
5. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated October 24, 2011 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 25, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 10, 2012

Payment Due Date: June 11, 2012

MSA File Number:	2012-070	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Grande Prairie Generation Inc.		
Asset ID (if applicable):	NPP1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	February 26, 2012
Date of Referral/Self Report:	April 10, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 26, 2012 at approximately 20:46 the NPP1 asset accepted an 82 MW energy dispatch for immediate effect. At approximately 22:50 while dispatched at 82 MW the NPP1 asset began to ramp down and was off-line by 23:00. The NPP1 asset generated outside of its ADV of 5 MW for four 10 minutes clock periods between 22:50 and 23:30. 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 NPP1 asset for February 26, 2012.
2. AESO Information Request to Constellation Energy Commodities Group dated March 5, 2012.
3. Constellation Energy Commodities Group March 15, 2012 response to the AESO information request.
4. AESO letter to Constellation Energy Commodities Group dated April 10, 2012 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 10, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 10, 2012

Payment Due Date: June 11, 2012

MSA File Number:	2012-073	Specified Penalty Amount:	\$ 500
Market Participant Name:	Grande Prairie Generation Inc.		
Asset ID (if applicable):	NPP1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 404	Date of Contravention:	November 3, 2011
Date of Referral/Self Report:	April 12, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 3, 2011 at approximately 13:15 the AESO System Controller directed the NPP1 asset via ADaMS to provide 40 MW of spinning reserves generation (SR). The directive timed out at approximately 13:17 and the system controller was not contacted regarding this matter. Section 4.2 of OPP 404 states "participants must contact the SC immediately if a dispatch or directive has been missed or has been responded to in error".

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule OPP 404.

MATERIAL FACTS

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

1. AESO dispatch data for the NPP1 asset for November 2, 2011.
2. AESO Information Request to Constellation Energy Commodities Group dated March 7, 2012.
3. Constellation Energy Commodities Group March 21, 2012 response to the AESO information request.
4. AESO letter to Constellation Energy Commodities Group dated April 12, 2012 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 10, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 10, 2012

Payment Due Date: June 11, 2012

MSA File Number:	2012-075	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	HMT1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	October 23, 2011
Date of Referral/Self Report:	April 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 23, 2011 at approximately 15:30 HMT1 tripped off-line and began to ramp back up at approximately 15:41. At approximately 15:44, while ramping up, the available capability (AC) was restated from 13 MW to 0 MW for HE 16, while the AC for HE 17 & HE 18 was left unchanged at 13 MW. At 15:46 the HMT1 asset accepted an energy dispatch to 0 MW while generating at 12 MW. At 15:47 the HMT1 asset rejected an advance energy dispatch for 13 MW effective at 16:00. The HMT1 rejected a second advance energy dispatch at 16:43 for 13 MW effective at 17:00. As a result, the HMT1 asset remained dispatched to 0 MW between 15:46 and 17:59 while generating at approximately 13 MW. Section 6.6.3 (a) of ISO rule 6.6 states that "in accordance with an energy market dispatch issued to a pool participant, the output of a generating asset which is the subject of the energy market dispatch and is ramping must be changed to move directionally towards the quantity (MW) indicated in that energy market dispatch within ten (10) minutes of the time specified in the energy market dispatch".

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 HMT1 asset on October 23, 2011.
2. AESO Information Request to AltaGas Ltd. dated January 30, 2012.
3. AltaGas Ltd. February 9, 2012 response to AESO information request.
4. AESO letter to AltaGas Ltd. dated April 13, 2012 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 10, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 10, 2012

Payment Due Date: June 11, 2012

MSA File Number:	2012-077	Specified Penalty Amount:	\$ 1,500
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:	October 15, 2011
Date of Referral/Self Report:	April 16, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 15, 2011 at approximately 18:08 HMT1 tripped off-line. The available capability for HE 19 remained at 13 MW until it was restated to 0 MW at approximately 18:49. The AC for HE 20 remained unchanged at 13 MW. An advance energy dispatch for 13 MW was issued at 18:54 effective at 19:00. HMT1 rejected this energy dispatch. A second advance energy dispatch for 13 MW was issued at 19:42 effective at 20:00 which was also rejected by HMT1. At approximately 19:45 the AC for HE 20 was restated to 0 MW with the reason "unit 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 October 15, 2011.
2. AESO Information Request to AltaGas Ltd. dated February 13, 2012.
3. AltaGas Ltd. March 2, 2012 response to AESO information request.
4. AESO letter to AltaGas Ltd. dated April 16, 2012 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 10, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 10, 2012

Payment Due Date: June 11, 2012

MSA File Number:	2012-078	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	HMT1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	October 14, 2011
Date of Referral/Self Report:	April 16, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 14, 2011 at approximately 21:39, while off-line, the HMT1 asset rejected an advance energy dispatch for 13 MW effective at 22:00. The HMT1 asset began to ramp up at approximately 21:40 and reached a generation level of approximately 13 MW by 21:57 while dispatched to 0 MW. The HMT1 asset generated outside of its ADV of 5 MW for seven 10 minute clock periods between 21:41 and 22:50 on October 14, 2011. Section 6.6.2 (a) 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 reference 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 the HMT1 asset on October 14, 2011.
2. AESO Information Request to AltaGas Ltd. dated February 13, 2012.
3. AltaGas Ltd. March 2, 2012 response to AESO information request.
4. AESO letter to AltaGas Ltd. dated April 16, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 10, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 13, 2012

Payment Due Date: August 13, 2012

MSA File Number:	2012-121	Specified Penalty Amount:	\$ 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:	OPP 102	Date of Contravention:	November 4, 2011
Date of Referral/Self Report:	April 30, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 4, 2011 between 19:07 and 19:17, the SCL1 asset received four 15 MW dispatches and one 20 MW dispatch 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 that 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 ISO rule OPP 102.

MATERIAL FACTS

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

1. AESO dispatch data for SCL1 asset on November 4, 2011.
2. AESO Information Request to Syncrude Canada Ltd. dated March 15, 2012.
3. Syncrude Canada Ltd. March 22, 2012 response to AESO Information Request.
4. AESO's April 4, 2012 response to Syncrude Canada Ltd.
5. Syncrude Canada Ltd.'s email to the AESO dated April 16, 2012.
6. AESO letter to Syncrude Canada Ltd. dated April 30, 2012 notifying of 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:	July 13, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 9, 2012

Payment Due Date: August 9, 2012

MSA File Number:	2012-122	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:	December 23, 2011
Date of Referral/Self Report:	May 1, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 23, 2011 at 12:40 an energy offer restatement for the HRM asset was submitted impacting offered volumes for HE 13 to HE 15. The 12:40 restatement had the effect of redistributing 30 MW from block 0 to block 1 for HE 13. In addition, the 12:40 restatement had the effect of redistributing 95 MW from block 0 to block 1 for HE 14 & HE 15. At 12:44 a second energy offer restatement for the HRM asset was submitted impacting offered volumes for HE 14. The 12:44 restatement had the effect of redistributing 65 MW from block 1 to block 0. As per ISO rule 3.5.3, an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

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), offer, and Maximum Capability (MC) data for HRM asset on December 23, 2011.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated April 4, 2012.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. April 18, 2012 response to AESO Information Request.
4. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated May 1, 2012 notifying of 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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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 9, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 28, 2012

Payment Due Date: July 30, 2012

MSA File Number:	2012-155	Specified Penalty Amount:	\$ 250
Market Participant Name:	TransCanada Energy Sales Ltd.		
Asset ID (if applicable):	ESBC	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	May 6, 2012
Date of Referral/Self Report:	May 31, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 6, 2012 the offer Available Capability (AC) value for the ESBC import asset was 0 MW for HE 8 to HE13. For these same settlement intervals, the sum of the import e-tag quantities was 83 MW. This was a discrepancy of 83 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 AC restatement, settlement and e-tag data for the ESBC asset for May 6, 2012.
2. TransCanada's self report to the MSA date May 31, 2012.

DELIVERY OF PAYMENT

Payment by cheque or 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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If your 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 28, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 25, 2012

Payment Due Date: July 25, 2012

MSA File Number:	2012-157	Specified Penalty Amount:	\$ 1,500
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:	6.6	Date of Contravention:	January 20, 2012
Date of Referral/Self Report:	June 4, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 20, 2012 at approximately 19:53, the HRM asset accepted an advanced energy dispatch down from 117 MW to 90 MW effective at 20:00. HRM began to move directionally to the energy dispatch at 20:05; however, steady state was not achieved. The calculated maximum time to meet the dispatch was 20:29, at which time the HRM asset was generating at 104 MW. At 21:00, the HRM asset was dispatched up to 144 MW. Section 6.6.3(b) of ISO Rule 6.6 requires that a generating asset must reach generating asset steady state in no longer than the period of time calculated as follows: (A) divide the incremental energy market dispatch quantity (MW) by the ramp rate submitted by the pool participant in the Energy Trading System; (B) add forty percent (40%) of the time calculated in rule 6.6.3(b)(i)(A) or five (5) minutes, whichever is greater; (C) add the ten (10) minutes referred to in Rule 6.6.3(a).

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 HRM asset on January 20, 2012.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated May 1, 2012.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. May 15, 2012 response to AESO Information Request.
4. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated June 4, 2012 notifying of 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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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 25, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 28, 2012

Payment Due Date: July 30, 2012

MSA File Number:	2012-158	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	Grande Prairie Generation Inc.		
Asset ID (if applicable):	NPP1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	January 19, 2012
Date of Referral/Self Report:	June 4, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 19, 2012 at approximately 22:45, the NPP1 asset accepted an advanced energy dispatch to 0 MW effective at 23:00. At approximately 22:49, the NPP1 asset also received a dispatch for immediate effect to increase generation from 50 MW to 76 MW. The NPP1 asset continued to generate at 76 MW and failed to move directionally towards the 0 MW dispatch effective at 23:00. The NPP1 asset began to move directionally towards the 0 MW dispatch at approximately 23:25. 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 NPP1 asset for January 19, 2012.
2. AESO Information Request to Constellation Energy Commodities Group dated May 1, 2012.
3. Constellation Energy Commodities Group May 16, 2012 response to the AESO Information Request.
4. AESO letter to Constellation Energy Commodities Group dated June 4, 2012 notifying of 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:	June 28, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 28, 2012

Payment Due Date: July 30, 2012

MSA File Number:	2012-159	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 17, 2012
Date of Referral/Self Report:	June 4, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 17, 2012 at approximately 00:50 the EC04 asset accepted a 94 MW energy dispatch for immediate effect. While dispatched at 94 MW, between 02:31 and 03:00, the EC04 asset generated outside its allowable dispatch variance (ADV) of 5 MW for three 10 minute clock periods. 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 17, 2012.
2. AESO Information Request to Cenovus Energy Inc. dated May 8, 2012.
3. Cenovus Energy Inc. May 23, 2012 response to AESO Information Request.
4. AESO letter to Cenovus Energy Inc. dated June 4, 2012 notifying of 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:	June 28, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 13, 2012

Payment Due Date: August 13, 2012

MSA File Number:	2012-162	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	November 4, 2011
Date of Referral/Self Report:	April 30, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 4, 2011 between 20:30 and 20:41, the SCL1 asset received five 15 MW 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 ISO rule OPP 102.

MATERIAL FACTS

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

1. AESO dispatch data for SCL1 asset on November 4, 2011.
2. AESO Information Request to Syncrude Canada Ltd. dated March 15, 2012.
3. Syncrude Canada Ltd.'s March 22, 2012 response to AESO Information Request.
4. AESO's April 4, 2012 response to Syncrude Canada Ltd.
5. Syncrude Canada Ltd.'s email to the AESO dated April 16, 2012.
6. AESO letter to Syncrude Canada Ltd. dated April 30, 2012 notifying of the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 9, 2012

Payment Due Date: August 9, 2012

MSA File Number:	2012-169	Specified Penalty Amount:	\$ 1,500
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:	December 27, 2011
Date of Referral/Self Report:	May 1, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 27, 2011 at 14:46, an energy offer restatement for the HRM asset was submitted impacting offered volumes for HE 15 to HE 17. This restatement had the effect of redistributing 104 MW from block 2 to block 1 and block 0 for HE 15 to HE 17. As per ISO rule 3.5.3, an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

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), offer, and Maximum Capability (MC) data for HRM asset on December 27, 2011.
2. AESO Information Request to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated April 4, 2012.
3. Milner Power Limited Partnership by its General Partner Milner Power Inc. April 18, 2012 response to AESO Information Request.
4. AESO letter to Milner Power Limited Partnership by its General Partner Milner Power Inc. dated May 1, 2012 notifying of the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 9, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 26, 2012

Payment Due Date: August 27, 2012

MSA File Number:	2012-205	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:	3.5.3	Date of Contravention:	February 2, 2012
Date of Referral/Self Report:	July 9, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 2, 2012 between 05:01 to 05:59, the Available Capability (AC) of the MEG1 asset for HE 6 was 35 MW while the maximum capability was at 78 MW. During this same time period, the MEG1 asset was generating between 45 MW and 78 MW. At 06:00, the AC for the MEG1 asset was restated to 73 MW for HE 7. Section 3.5.3.1 (c) of ISO Rule 3.5.3 states "the available capability (MW) for each source asset must be stated. Available capability must equal the maximum capability, unless the pool participant has submitted an acceptable operational reason with the offer".

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, maximum capability, generation and dispatch data for the MEG1 asset for February 2, 2012.
2. AESO Information Request to MEG Energy Corp. dated June 14, 2012.
3. MEG Energy Corp. June 21, 2012 response to the AESO Information Request.
4. AESO letter to MEG Energy Corp. dated July 9, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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NOTICE

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SIGNATURE

Signature:		Signature Date:	July 26, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 26, 2012

Payment Due Date: August 27, 2012

MSA File Number:	2012-207	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Daishowa-Marubeni International Ltd.		
Asset ID (if applicable):	DAI1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	February 4, 2012
Date of Referral/Self Report:	July 9, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 4, 2012 at approximately 13:47, the DAI1 asset accepted an advance energy dispatch to 16 MW effective at 14:00. While dispatched at 16 MW, between 14:01 and 15:00, the DAI1 asset generated outside its allowable dispatch variance (ADV) of 5 MW for six 10 minute clock periods. During this time, the DAI1 asset generated between 21 MW and 28 MW. 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 DAI1 asset for February 4, 2012.
2. AESO Information Request to Daishowa-Marubeni International Ltd. dated June 14, 2012.
3. Daishowa-Marubeni International Ltd. June 22, 2012 response to AESO Information Request.
4. AESO letter to Daishowa-Marubeni International Ltd. dated July 9, 2012 notifying of the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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NOTICE

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SIGNATURE

Signature:		Signature Date:	July 26, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 23, 2012

Payment Due Date: September 24, 2012

MSA File Number:	2012-227	Specified Penalty Amount:	\$ 500
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	REBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	February 6, 2012
Date of Referral/Self Report:	July 30, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 6, 2012, an offer restatement was submitted for the REBC asset at approximately 05:29 effective at 06:00 which decreased the available capability (AC) for the asset within the T-2 window for February 6, 2012 for HE 7. This restatement had the effect of decreasing the AC value from 50 to 0 MW without an acceptable operational reason. 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 REBC asset for February 6, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated July 3, 2012.
3. Rainbow Energy Marketing Corporation July 10, 2012 response to AESO information request.
4. AESO letter to Rainbow Energy Marketing Corporation dated July 30, 2012 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:	August 22, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 23, 2012

Payment Due Date: September 24, 2012

MSA File Number:	2012-228	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	REBC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.3.3	Date of Contravention:	February 22, 2012
Date of Referral/Self Report:	July 30, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 22, 2012, an offer restatement was submitted for the REBC asset at approximately 05:44 effective at 06:00 which decreased the available capability (AC) for the asset within the T-2 window for February 22, 2012 for HE 7. This restatement had the effect of decreasing the AC value from 50 to 0 MW without an acceptable operational reason. 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 REBC asset for February 22, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated July 3, 2012.
3. Rainbow Energy Marketing Corporation July 10, 2012 response to AESO information request.
4. AESO letter to Rainbow Energy Marketing Corporation dated July 30, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 22, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 30, 2012

Payment Due Date: October 1, 2012

MSA File Number:	2012-230	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:	6.5.3	Date of Contravention:	April 8, 2012
Date of Referral/Self Report:	July 26, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 7, 2012 at 22:50, the DRW1 asset accepted a dispatch for 5 MW of Supplemental Reserve Generation (SUPG) effective immediately. On April 8, 2012 at approximately 02:15 the DRW1 asset received a directive to provide 5 MW of SUPG, effective immediately. At 02:25, ten minutes following the directive, the DRW1 asset was generating at 2.3 MW. The directive was canceled at approximately 02:38. 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 6.5.3.

MATERIAL FACTS

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

1. AESO generation and dispatch data for the DRW1 asset on April 7 and 8, 2012.
2. AESO Information Request to Bowark Energy Ltd. dated June 18, 2012.
3. URICA Energy Real Time Ltd.'s June 21, 2012 response to AESO information request.
4. AESO letter to Bowark Energy Ltd. dated July 26, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 30, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 6, 2012

Payment Due Date: October 8, 2012

MSA File Number:	2012-242	Specified Penalty Amount:	\$ 250
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	TC01	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	July 25, 2012
Date of Referral/Self Report:	August 9, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 25, 2012 at approximately 06:43, the TC01 asset accepted a dispatch for 10 MW of Supplemental Reserve Generation (SUPG) effective at 07:00. At approximately 13:35 the TC01 asset received a directive to provide 10 MW of SUPG, while generation at 65 MW, effective immediately. At 13:45, ten minutes following the directive, the TC01 asset was generating at 65 MW. At approximately 13:50 the TC01 asset reached the directed level by generating at 76 MW. The directive was canceled at approximately 13:52. 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. AESO generation and dispatch data for the TC01 asset on July 25, 2012.
2. TransCanada's self-report to the MSA dated August 9, 2012.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 6, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2012

Payment Due Date: October 22, 2012

MSA File Number:	2012-251	Specified Penalty Amount:	\$ 500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ME02	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	May 15, 2012
Date of Referral/Self Report:	August 20, 2012	This is the 1st contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 15, 2012 at approximately 06:41 the ME02 asset accepted a dispatch for 7 MW of Supplemental Reserve Generation (SUPG), effective 07:00. At approximately 11:14 the ME02 asset, while generating at 0.3 MW, received a directive to provide 7 MW of Supplemental Reserve Generation (SUPG), effective immediately. At 11:24, ten minutes following the directive, the ME02 asset was generating at 0.9. The directive was cancelled at 11:28. 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 ME02 asset for May 15, 2012.
2. AESO Information Request to AltaGas Ltd. dated July 24, 2012.
3. AltaGas Ltd.'s August 8, 2012 response to AESO information request.
4. AESO letter to AltaGas Ltd. dated August 20, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:		Signature Date:	September 20, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2012

Payment Due Date: October 22, 2012

MSA File Number:	2012-258	Specified Penalty Amount:	\$ 500
Market Participant Name:	ATCO Power (Poplar/Rainbow)		
Asset ID (if applicable):	PH1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	March 20, 2012
Date of Referral/Self Report:	August 27, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 20, 2012 at approximately 05:46 an energy offer restatement for the PH1 asset was submitted impacting offered volumes for HE 8. This restatement had the effect of redistributing 5 MW from block 1 to block 0 for HE 8. Section 3.5.3.2 of ISO Rule 3.5.3 requires that the submission of an energy restatement with impact on the current settlement interval or a settlement interval commencing within two hours of the submission must be 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 3.5.3.

MATERIAL FACTS

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

1. Available capability and offer restatement data for the PH1 asset for March 20, 2012.
2. AESO Information Request to ATCO Power (Poplar/Rainbow) dated July 25, 2012.
3. ATCO Power (Poplar/Rainbow) August 14, 2012 response to the AESO information request.
4. AESO letter to ATCO Power (Poplar/Rainbow) dated August 27, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:		Signature Date:	September 20, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2011

Payment Due Date: October 25, 2012

MSA File Number:	2012-260	Specified Penalty Amount:	\$ 250
Market Participant Name:	Suncor Energy Inc		
Asset ID (if applicable):	SCR1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	June 24, 2012
Date of Referral/Self Report:	August 24, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 24, 2012 at approximately 00:39 an energy offer restatement for the SCR1 asset was submitted impacting the offered volumes, minimum stable generation (MSG) and available capability (AC) for HE 1 through HE 6. This restatement had the effect of increasing offer Block 0 from 500 MW to 545 MW, MSG from 500 MW to 505 MW and AC from 530 MW to 545 MW. At 00:41 a second energy offer restatement was submitted for HE 1 through HE 6 decreasing offer block 0 from 545 MW to 505 MW. Section 3.5.3.2 of ISO Rule 3.5.3 requires that the submission of an energy restatement with impact on the current settlement interval or a settlement interval commencing within two hours of the submission must be 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 3.5.3.

MATERIAL FACTS

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

1. Suncor Energy Inc's self-report submitted by TransAlta Corporation sent on August 24, 2012 (dated August 16, 2012).
2. AESO Available Capability, offer, minimum stable generation data for SCR1 on June 24, 2012.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:		Signature Date:	September 20, 2011
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 26, 2012

Payment Due Date: October 26, 2012

MSA File Number:	2012-274	Specified Penalty Amount:	\$ 1,250
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	July 7, 2012
Date of Referral/Self Report:	September 4, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 7, 2012 at approximately 09:49 the SCL1 asset received an energy dispatch up to 42 MW from 36 MW, effective immediately. The SCL1 asset responded instantly and shortly reached its generating asset steady state of 42 MW. During the period from 10:30 to 11:00 the SCL1 asset generated at a level up to approximately 9 MW outside of its allowable dispatch variance of 5 MW for three 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 July 7, 2012.
2. Syncrude Canada Ltd. self-report sent to the MSA on September 4, 2012 (dated August 31, 2012).

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 26, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 26, 2012

Payment Due Date: October 26, 2012

MSA File Number:	2012-275	Specified Penalty Amount:	\$ 750
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	June 18, 2012
Date of Referral/Self Report:	September 4, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 18, 2012 at approximately 04:25 while generating at 74 MW the SCL1 asset received an energy dispatch down to 70 MW from 76 MW, effective immediately. At 04:35, ten minutes after the dispatch, the SCL1 asset was generating at approximately 78 MW. The SCL1 asset operated outside of its acceptable dispatch variance until approximately 05:38 when a dispatch was received to move up to 80 MW from 70 MW for immediate effect. Section 6.6.3(a) of ISO rule 6.6 requires that 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 SCL1 asset on June 18, 2012.
2. Syncrude Canada Ltd. self-report sent to the MSA on September 4, 2012 (dated August 31, 2012).

DELIVERY OF PAYMENT

Payment by cheque or 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:	September 26, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 3, 2012

Payment Due Date: November 5, 2012

MSA File Number:	2012-287	Specified Penalty Amount:	\$ 750
Market Participant Name:	ASTC Power Partnership		
Asset ID (if applicable):	SD4	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 18, 2012
Date of Referral/Self Report:	September 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 18, 2012 at approximately 06:50 the SD4 asset accepted an energy dispatch down to 150 MW from 250 MW effective at 07:00. The SD4 asset did not move directionally toward the new dispatch level until approximately 07:30. 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 SD4 asset on August 18, 2012.
2. ASTC Power Partnership's self-report to the MSA dated September 13, 2012.

DELIVERY OF PAYMENT

Payment by cheque or 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:	October 3, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 3, 2012

Payment Due Date: November 5, 2012

MSA File Number:	2012-288	Specified Penalty Amount:	\$ 750
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	SH1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 18, 2012
Date of Referral/Self Report:	September 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 18, 2012 at approximately 06:50 the SH1 asset accepted an energy dispatch down to 135 MW from 312 MW effective at 07:00. The SH1 asset did not move directionally toward the new dispatch level until approximately 07:35. 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 SH1 asset on August 18, 2012.
2. TransCanada Energy Ltd.'s self-report to the MSA dated September 13, 2012.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 3, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 3, 2012

Payment Due Date: November 5, 2012

MSA File Number:	2012-289	Specified Penalty Amount:	\$ 750
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	SH2	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 18, 2012
Date of Referral/Self Report:	September 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 18, 2012 at approximately 06:50 the SH2 asset accepted an energy dispatch down to 200 MW from 312 MW effective at 07:00. The SH2 asset did not move directionally toward the new dispatch level until approximately 07:32. 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 SH2 asset on August 18, 2012.
2. TransCanada Energy Ltd.'s self-report to the MSA dated September 13, 2012.

DELIVERY OF PAYMENT

Payment by cheque or 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:	October 3, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 3, 2012

Payment Due Date: November 5, 2012

MSA File Number:	2012-290	Specified Penalty Amount:	\$ 500
Market Participant Name:	Daishowa-Marubeni International Ltd.		
Asset ID (if applicable):	DAI1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	March 19, 2012
Date of Referral/Self Report:	September 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 19, 2012 at approximately 18:48, the DAI1 asset accepted an advance energy dispatch from 10 MW to 52 MW effective at 19:00. Following the 18:48 dispatch, DAI1 continued to operate at the prior dispatched level through to approximately 20:32 when DAI1 was dispatched back down to 10 MW. Information provided to the MSA indicated that the declared AC value of 52 MW was a default setting and did not properly reflect plant availability during the relevant period. 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 DAI1 asset for March 19, 2012.
2. AESO Information Request to Daishowa-Marubeni International Ltd. dated June 18, 2012.
3. Daishowa-Marubeni International Ltd. July 3, 2012 response to AESO Information Request.
4. AESO letter to Daishowa-Marubeni International Ltd. dated September 13, 2012 notifying of 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:	October 3, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 4, 2012

Payment Due Date: November 5, 2012

MSA File Number:	2012-293	Specified Penalty Amount:	\$ 500
Market Participant Name:	Canadian Forest Products Ltd.		
Asset ID (if applicable):	GPEC	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	May 25, 2012
Date of Referral/Self Report:	September 20, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 25, 2012 between 16:50 and 17:59 and 18:00 and 18:51 the Available Capability of the GPEC asset was 5 MW and 10 MW respectively. During these same time periods the GPEC asset was dispatched to 5 MW and 10 MW respectively. However, due to a pump trip, the GPEC asset was not able to generate. The Available Capability of the GPEC asset was restated to 0 MW at approximately 18:52. 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 GPEC asset for May 25, 2012.
2. AESO Information Request to Canadian Forest Products Ltd. dated August 20, 2012.
3. Canadian Forest Products Ltd. August 23, 2012 response to AESO Information Request.
4. AESO letter to Canadian Forest Products Ltd. dated September 20, 2012 notifying of the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 4, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 15, 2012

Payment Due Date: November 16, 2012

MSA File Number:	2012-299	Specified Penalty Amount:	\$ 1,250
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 30, 2012
Date of Referral/Self Report:	September 21, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 30, 2012 at 16:39 the FNG1 asset accepted an energy dispatch to move from 59 MW to 41 MW effective at 17:00. The FNG1 asset did not move directionally toward the new dispatch level until approximately 18:55. 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 FNG1 asset for August 30, 2012.
2. Powerex Corp.'s self-report to the MSA dated September 21, 2012.

DELIVERY OF PAYMENT

Payment by cheque or 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:	October 15, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 15, 2012

Payment Due Date: November 16, 2012

MSA File Number:	2012-300	Specified Penalty Amount:	\$ 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:	6.5.3	Date of Contravention:	May 15, 2012
Date of Referral/Self Report:	September 24, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 15, 2012 at 11:14 the DOWG asset was directed to provide 20 MW of supplemental reserves (SUPG) and at 11:17 the DOWG asset was directed to provide 20 MW of spinning reserves (SR). Between 11:31:50 and 11:34:30 generation dropped below the required 172 MW and reached a level as low as 165.7 MW. ISO rule 6.5.3 requires that 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. AESO Dispatch, and generation data for DOWG asset on May 15, 2012.
2. AESO Information Request to Dow Chemical Canada Inc. Dated August 9, 2012.
3. Dow Chemical Canada Inc. August 29, 2012 response to AESO information request.
4. AESO letter to Dow Chemical Canada Inc. dated September 24, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	<i>"Original Signed"</i>	Signature Date:	October 15, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 15, 2012

Payment Due Date: November 16, 2012

MSA File Number:	2012-301	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	May 11, 2012
Date of Referral/Self Report:	September 21, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 11, 2012 at 09:32 the FNG1 asset accepted an energy dispatch to move from 25 MW to 68 MW effective immediately. The declared ramp rate for the FNG1 asset was 1.8 MW/min. The FNG1 asset was required to be generating within the ADV of its 68 MW dispatch by 10:16. At 10:16 the FNG1 asset was generating at 51 MW and did not reach generating asset steady state until after a dispatch back down to 25 MW was received for effect at 11:00. The system controller was not contacted concerning the FNG1 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, generation and dispatch data for the FNG1 asset for May 11, 2012.
2. AESO Information Request to Powerex Corp. dated August 22, 2012.
3. Powerex Corp. September 13, 2012 response to the AESO information request.
4. AESO letter to Powerex Corp. dated September 21, 2012 notifying the referral of the matter to the MSA.

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 15, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 11, 2012

Payment Due Date: November 13, 2012

MSA File Number:	2012-312	Specified Penalty Amount:	\$ 500
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	RESK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	February 2, 2012
Date of Referral/Self Report:	September 21, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 2, 2012 between 07:48 and 08:11, the RESK asset received four 1 MW dispatches. The initial dispatch was effective at 08:00 while subsequent dispatches were effective immediately. These ADaMS dispatches were neither accepted nor rejected within the required 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 5 minutes for all market Participants with export bids or import offers for 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for RESK asset for February 2, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated August 9, 2012.
3. Rainbow Energy Marketing Corporation August 16, 2012 response to AESO information request.
4. Rainbow Energy Marketing Corporation August 21, 2012 response to AESO information request.
5. Rainbow Energy Marketing Corporation August 24, 2012 response to AESO information request.
6. AESO letter to Rainbow Energy Marketing Corporation dated September 21, 2012 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:	"Original Signed"	Signature Date:	October 11, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 11, 2012

Payment Due Date: November 13, 2012

MSA File Number:	2012-316	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	RESK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 11, 2012
Date of Referral/Self Report:	September 21, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 11, 2012 between 12:56 and 13:56, the RESK asset received eight 0 MW dispatches effective immediately. These ADaMS dispatches were neither accepted nor rejected within the required 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 5 minutes for all market Participants with export bids or import offers for 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for RESK asset for June 11, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated August 9, 2012.
3. Rainbow Energy Marketing Corporation August 16, 2012 response to AESO information request.
4. Rainbow Energy Marketing Corporation August 21, 2012 response to AESO information request.
5. Rainbow Energy Marketing Corporation August 24, 2012 response to AESO information request.
6. AESO letter to Rainbow Energy Marketing Corporation dated September 21, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 11, 2012

Payment Due Date: November 13, 2012

MSA File Number:	2012-317	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	RESK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 11, 2012
Date of Referral/Self Report:	September 21, 2012	This is the third contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 11, 2012 between 14:09 and 14:29, the RESK asset received four 0 MW dispatches effective immediately. These ADaMS dispatches were neither accepted nor rejected within the required 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 5 minutes for all market Participants with export bids or import offers for 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for RESK asset for June 11, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated August 9, 2012.
3. Rainbow Energy Marketing Corporation August 16, 2012 response to AESO information request.
4. Rainbow Energy Marketing Corporation August 21, 2012 response to AESO information request.
5. Rainbow Energy Marketing Corporation August 24, 2012 response to AESO information request.
6. AESO letter to Rainbow Energy Marketing Corporation dated September 21, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 11, 2012

Payment Due Date: November 13, 2012

MSA File Number:	2012-318	Specified Penalty Amount:	\$ 10,000
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	RESK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 14, 2012
Date of Referral/Self Report:	September 21, 2012	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 14, 2012 between 04:44 and 05:58, the RESK asset received seven 38 MW dispatches. The initial dispatch was effective at 05:00 while subsequent dispatches were effective immediately. These ADaMS dispatches were neither accepted nor rejected within the required 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 5 minutes for all market Participants with export bids or import offers for 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for RESK asset for June 14, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated August 9, 2012.
3. Rainbow Energy Marketing Corporation August 16, 2012 response to AESO information request.
4. Rainbow Energy Marketing Corporation August 21, 2012 response to AESO information request.
5. Rainbow Energy Marketing Corporation August 24, 2012 response to AESO information request.
6. AESO letter to Rainbow Energy Marketing Corporation dated September 21, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 11, 2012

Payment Due Date: November 13, 2012

MSA File Number:	2012-320	Specified Penalty Amount:	\$ 10,000
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	RESK	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 14, 2012
Date of Referral/Self Report:	September 21, 2012	This is the fifth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 14, 2012 between 17:45 and 18:59, the RESK asset received seven 38 MW dispatches. The initial two dispatches were effective at 18:00 while subsequent dispatches were effective immediately. These ADaMS dispatches were neither accepted nor rejected within the required 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 5 minutes for all market Participants with export bids or import offers for 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 ISO rule OPP 102

MATERIAL FACTS

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

1. AESO dispatch data for RESK asset for June 14, 2012.
2. AESO Information Request to Rainbow Energy Marketing Corporation dated August 9, 2012.
3. Rainbow Energy Marketing Corporation August 16, 2012 response to AESO information request.
4. Rainbow Energy Marketing Corporation August 21, 2012 response to AESO information request.
5. Rainbow Energy Marketing Corporation August 24, 2012 response to AESO information request.
6. AESO letter to Rainbow Energy Marketing Corporation dated September 21, 2012 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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SIGNATURE

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

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 29, 2012

Payment Due Date: December 29, 2012

MSA File Number:	2012-355	Specified Penalty Amount:	\$ 2,500
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	October 10, 2012
Date of Referral/Self Report:	November 8, 2012	This is the third contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 10, 2012 at 10:43, the FNG1 asset accepted an energy dispatch to move from 37 MW to 68 MW effective at 11:00 MDT. The declared ramp rate for the FNG1 asset was 1.8 MW/min. The FNG1 asset was required to be generating within the ADV of its 68 MW dispatch level by 11:33. At 11:33 FNG1 was generating at 52 MW or approximately 11 MW outside of the ADV and did not reach generating asset steady state until after a dispatch down to 38 MW at 12:35 MDT. The AESO system controller was not contacted concerning the status of the FNG1 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, generation, and dispatch data for the FNG1 asset for October 10, 2012.
2. Powerex Corp. November 8, 2012 self-report.

DELIVERY OF PAYMENT

Payment by cheque or 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:	November 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 29, 2012

Payment Due Date: December 29, 2012

MSA File Number:	2012-363	Specified Penalty Amount:	\$ 250
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	August 7, 2012
Date of Referral/Self Report:	November 14, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 7, 2012 at 13:04 MDT, the FNG1 asset accepted an energy dispatch to move from 28 MW to 52 MW effective immediately. FNG1 subsequently experienced an operational deviation however, FNG1 failed to restate its available capability to accurately reflect a change in the asset's generation capability. The AESO system controller was not contacted concerning the status of the FNG1 asset during this event. Section 3.5.3.2 (b) of ISO Rule 3.5.3 states "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 FNG1 asset for August 7, 2012.
2. Powerex Corp. November 14, 2012 self-report.

DELIVERY OF PAYMENT

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 29, 2012

Payment Due Date: December 29, 2012

MSA File Number:	2012-366	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	August 18, 2012
Date of Referral/Self Report:	November 14, 2012	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 18, 2012 at 1:02 MDT, the FNG1 asset accepted an energy dispatch to move from 34 MW to 7 MW effective immediately. The declared ramp rate for the FNG1 asset was 1.8 MW/min. The FNG1 asset was required to be generating within the ADV of its 7 MW dispatch by 1:33 MDT. At 1:33 the FNG1 asset was generating at 30 MW or approximately 18 MW outside the ADV and did not reach generating asset steady state until 2:02 MDT. The AESO system controller was not contacted concerning the status of the FNG1 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, generation, and dispatch data for the FNG1 asset for August 18, 2012.
2. Powerex Corp. November 14, 2012 self-report.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 29, 2012

Payment Due Date: December 29, 2012

MSA File Number:	2012-368	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	September 17, 2012
Date of Referral/Self Report:	November 14, 2012	This is the fifth contravention by this asset and the fifth contravention for Powerex Corp. for this rule within a rolling 12 month period	

EVENT DETAILS

On September 17, 2012 at 22:40 MDT, the FNG1 asset accepted an energy dispatch to move from 26 MW to 59 MW effective immediately. The declared ramp rate for the FNG1 asset was 1.8 MW/min. The FNG1 asset was required to be generating within the ADV of its 59 MW dispatch by 23:35 MDT. At 23:35, the FNG1 asset was generating at 38 MW or approximately 16 MW outside the ADV and did not reach generating asset steady state until 00:50 MDT on September 18, 2012. 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 FNG1 asset for September 17, 2012.
2. Powerex Corp. November 14, 2012 self-report.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 29, 2012

Payment Due Date: December 29, 2012

MSA File Number:	2012-377	Specified Penalty Amount:	\$ 750
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	September 6, 2012
Date of Referral/Self Report:	November 16, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 6, 2012 at 8:55 MDT, the FNG1 asset experienced a reduction in its available capacity from 60 MW to 39 MW. However, the AC for the asset was not restated to the reduced level for the applicable hours until 11:16 MDT. Section 3.5.3.2 (b) of ISO Rule 3.5.3 states "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 FNG1 asset for September 6, 2012.
2. Powerex Corp. November 16, 2012 self-report.

DELIVERY OF PAYMENT

Payment by cheque or 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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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 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 29, 2012

Payment Due Date: December 29, 2012

MSA File Number:	2012-380	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	October 25, 2012
Date of Referral/Self Report:	November 19, 2012	This is the sixth contravention by this asset and the sixth contravention by Powerex Corp. for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 25, 2012 at 15:18 MDT, the FNG1 asset accepted an energy dispatch to move from 15 MW to 44 MW effective immediately. The declared ramp rate for the FNG1 asset was 1.8 MW/min. The FNG1 asset subsequently met the requirement to be generating within the ADV of its 44 MW dispatch by 15:50 MDT. However, beginning at 16:49 until 17:59, the generation output of the FNG1 asset deviated by up to 21 MW from the ADV. Section 6.6.2(a) of ISO Rule 6.6 requires 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 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 FNG1 asset for October 25, 2012.
2. Powerex Corp. November 19, 2012 self-report.

DELIVERY OF PAYMENT

Payment by cheque or 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:	November 29, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 14, 2012

Payment Due Date: January 11, 2013

MSA File Number:	2012-382	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:	June 22, 2012
Date of Referral/Self Report:	November 13, 2012	This is the third contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 22, 2012 at approximately 17:38, MEG1 experienced a generator trip while dispatched to 63 MW. The Available Capability (AC) of the MEG1 asset remained at 63 MW until approximately 18:50 when AC was restated to 0 MW. In addition, the AC for each of HE 21, 22, 23, and 24 were restated from 63 MW to 0 MW late in the preceding hour and only after rejecting an advance dispatch for the upcoming hour. During this period, the AESO system controller was not contacted in relation to status of MEG1. Section 3.5.3.2 (a) of ISO Rule 3.5.3 states "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 dispatch and generation data for the MEG1 asset for June 22, 2012.
2. AESO letter to MEG Energy Corp. dated November 13, 2012 notifying of 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:	December 14, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 14, 2012

Payment Due Date: January 11, 2013

MSA File Number:	2012-389	Specified Penalty Amount:	\$ 500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	August 19, 2012
Date of Referral/Self Report:	November 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 19, 2012 at 01:06, the GN1 asset was directed to provide 17 MW of spinning reserves (SR) while generating at a level of 413 MW. At 01:16, or ten minutes following issuance of the directive, GN1 was generating at a level of 422 MW or 8 MW below the 17 MW of directed incremental volume. ISO rule 6.5.3 a) states that in respect of spinning reserve (SR), 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. AESO dispatch and generation data for the GN1 asset on August 19, 2012.
2. AESO letter to the Balancing Pool dated November 27, 2012 notifying of 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:	December 14, 2012
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 14, 2012

Payment Due Date: January 14, 2013

MSA File Number:	2012-405	Specified Penalty Amount:	\$ 500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ME03	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	July 3, 2012
Date of Referral/Self Report:	November 30, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 3, 2012 at 15:12, the ME03 generation asset received a directive to provide 7 MW of Supplemental reserve generation (SUPG) from an offline state. At 15:22, or ten minutes following issuance of the directive, ME03 was generating at a level below 1 MW or approximately 6 MW below the 7 MW of directed incremental volume. ISO rule 6.5.3 a) states that in respect of supplemental reserve generation (SUPG), 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. AESO dispatch and generation data for the ME03 asset for July 3, 2012.
2. AESO letter to AltaGas Ltd. dated November 30, 2012 notifying of 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:	December 14, 2012
Name:	Doug Doll	Title:	Manager Compliance