

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 16, 2013

Payment Due Date: February 16, 2013

MSA File Number:	2012-385	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Altagas Ltd.		
Asset ID (if applicable):	ME04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 10, 2012
Date of Referral/Self Report:	Nov. 20, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 10, 2012 during HE 10, the ME04 asset received two 6 MW (4MW for energy and 2MW for ancillary service) 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 and for all participants with ancillary service offers.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO dispatch data for the ME04 asset for June 10, 2012.
2. AESO letter to the Altagas Ltd. dated Nov. 20, 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

### NOTICE

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 16, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 16, 2013

Payment Due Date: February 16, 2013

MSA File Number:	2012-386	<b>Specified Penalty Amount:</b>	\$ 1,500
Market Participant Name:	Altagas Ltd.		
Asset ID (if applicable):	ME04	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:	Nov. 20, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 11, 2012 during HE 01, the ME04 asset received two 6 MW (5MW for energy and 1MW for ancillary service) 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 and for all participants with ancillary service offers.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO dispatch data for the ME04 asset for June 11, 2012.
2. AESO letter to the Altagas Ltd. dated Nov. 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:	January 16, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 16, 2013

Payment Due Date: February 16, 2013

MSA File Number:	2012-416	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	City of Medicine Hat		
Asset ID (if applicable):	CMH1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 603	Date of Contravention:	June 10, 2012
Date of Referral/Self Report:	December 12, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 10, 2012, for HE 08, HE 09, and HE 10, an energy restatement was submitted within the T-2 window for the CMH1 asset with a stated reason relating to RATA testing. No testing plan was received by the AESO regarding the noted testing nor did CMH1 make a real time request for approval from the System Controller before proceeding with the testing. OPP 603 of the ISO rules states that the market participant will submit a testing or commissioning plan to the ISO at [outage.scheduling@aeso.ca](mailto:outage.scheduling@aeso.ca) per the following schedule: a) at least 10 days in advance for generators of capacity less than 150 MW; b) at least 30 days in advance for generators of capacity equal to or greater than 150 MW.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO AC and offer data for the CMH1 asset for June 10, 2012.
2. AESO Information Request to the City of Medicine Hat dated November 5, 2012.
3. City of Medicine Hat response of November 30, 2012 to the AESO Information request.
4. AESO letter to the City of Medicine Hat dated December 12, 2012 notifying of the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 16, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 16, 2013

Payment Due Date: February 16, 2013

MSA File Number:	2012-417	<b>Specified Penalty Amount:</b>	\$ 1,500
Market Participant Name:	City of Medicine Hat		
Asset ID (if applicable):	CMH1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 603	Date of Contravention:	June 11, 2012
Date of Referral/Self Report:	December 12, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On Jun11, 2012, for HE 15, HE 16, and HE 17, an energy restatement was submitted within the T-2 window for the CMH1 asset with a stated reason relating to RATA testing. No testing plan was received by the AESO regarding the noted testing nor did CMH1 make a real time request for approval from the System Controller before proceeding with the testing. OPP 603 of the ISO rules states that the market participant will submit a testing or commissioning plan to the ISO at [outage.scheduling@aeso.ca](mailto:outage.scheduling@aeso.ca) per the following schedule: a) at least 10 days in advance for generators of capacity less than 150 MW; b) at least 30 days in advance for generators of capacity equal to or greater than 150 MW.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO AC and Offer data for the CMH1 asset for June 11, 2012.
2. AESO Information Request to the City of Medicine Hat dated November 5, 2012.
3. City of Medicine Hat response of November 30, 2012 to the AESO information request.
4. AESO letter to the City of Medicine Hat dated December 12, 2012 notifying of the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 11, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 17, 2013 Payment Due Date: February 18, 2013

MSA File Number:	2012-422	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Nexen Inc./Encana Corporation		
Asset ID (if applicable):	NX01	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 603	Date of Contravention:	June 26, 2012
Date of Referral/Self Report:	December 6, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 26, 2012 for HE 09 and HE 10, an energy restatement was submitted within the T-2 window for the NX01 asset with a stated reason relating to Trevi testing. No testing plan was received by the AESO regarding the noted testing nor did NX01 make a real time request for approval from the System Controller before proceeding with the testing. OPP 603 of the ISO rules states that the market participant will submit a testing or commissioning plan to the ISO at [outage.scheduling@aeso.ca](mailto:outage.scheduling@aeso.ca) per the following schedule: a) at least 10 days in advance for generators of capacity less than 150 MW; b) at least 30 days in advance for generators of capacity equal to or greater than 150 MW.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO AC and offer data for the NX01 asset for June 26, 2012.
2. AESO Information Request to Nexen Inc. dated November 6, 2012.
3. Nexen Inc. November 21, 2012 response to the AESO Information Request.
4. AESO letter to Nexen Inc. dated December 6, 2012 notifying of the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 17, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 23, 2013

Payment Due Date: February 25, 2013

MSA File Number:	2012-423	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Suncor Energy Inc.		
Asset ID (if applicable):	SCR1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 603	Date of Contravention:	June 6, 2012
Date of Referral/Self Report:	December 12, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 4<sup>th</sup> and 5<sup>th</sup>, 2012 energy restatements were submitted for SCR1 impacting declared AC for June 6<sup>th</sup> for HE 10 to 13 with a stated reason relating to WECC testing. No testing plan was received by the AESO in regards to the noted testing nor did SCR1 make a real time request for approval from the System Controller before proceeding with the testing. OPP 603 of the ISO rules states that the market participant will submit a testing or commissioning plan to the ISO at [outage.scheduling@aeso.ca](mailto:outage.scheduling@aeso.ca) per the following schedule: a) at least 10 days in advance for generators of capacity less than 150 MW; b) at least 30 days in advance for generators of capacity equal to or greater than 150 MW.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO offer and restatement data for the SCR1 asset for June 6, 2012.
2. AESO Information Request to TransAlta Generation Partnership per SCR1, dated November 6, 2012.
3. TransAlta Generation Partnership response dated November 29, 2012 to the AESO Information Request.
4. AESO letter to Suncor Energy Inc. dated December 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 23, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 17, 2013

Payment Due Date: February 18, 2013

MSA File Number:	2012-442	<b>Specified Penalty Amount:</b>	\$ 1,500
Market Participant Name:	Cenovus Energy Inc.		
Asset ID (if applicable):	EC04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 1, 2012
Date of Referral/Self Report:	December 17, 2012	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 1, 2011 between 23:43 and 23:53, the EC04 asset received four dispatches for 94 MW of energy effective at 00:00 on June 2, 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 OPP 102.

### MATERIAL FACTS

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

1. AESO dispatch data for the EC04 asset for June 1, 2012 and June 2, 2012.
2. AESO Information Request to Cenovus Energy Inc. dated October 17, 2012.
3. Cenovus Energy Inc. October 31, 2012 response to AESO Information Request.
4. AESO letter to Cenovus Energy Inc. dated December 17, 2012 notifying the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 17, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 23, 2013

Payment Due Date: February 25, 2013

MSA File Number:	2012-443	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Capital Power (G3) Limited Partnership		
Asset ID (if applicable):	GN3	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	June 17, 2012
Date of Referral/Self Report:	December 17, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 16, 2012 at 18:18, Capital Power (G3) Limited Partnership submitted a Minimum Stable Generation (MSG) declaration for GN3 of 176 MW applicable to HE 08-18 on June 17, 2012. On June 17, 2012 at 06:40, the AESO issued a reliability directive to GN3 to reduce generation to 176 MW net to grid - the MSG level declared for GN3 beginning at 07:00. GN3 subsequently communicated to the AESO that the asset could not comply with the directive and subsequently restated MSG to 225 MW at 07:47 for HE 08-18. In this case, the 07:47 restatement was deemed not to be made as soon as reasonably practicable to reflect a change to MSG. ISO rule 3.5.3.2.1 (a) indicates that an MSG restatement must be submitted as soon as is reasonably practicable, if there is a change to the MSG as a result of any 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. AESO generation, dispatch, and MSG declaration data for GN3 for June 17, 2012.
2. AESO Information Request dated October 17, 2012.
3. Capital Power (G3) Limited Partnership information request response dated November 7, 2012.
4. AESO communication to Capital Power (G3) Limited Partnership dated December 3, 2012 requesting additional information.
5. Capital Power (G3) Limited Partnership response dated December 10, 2012 to the request for additional information.
6. AESO letter to Capital Power (G3) Limited Partnership dated December 17, 2012 notifying of the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 23, 2013
Name:	Doug Doll	Title:	Manager Compliance



## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 18, 2013

Payment Due Date: February 18, 2013

MSA File Number:	2012-448	<b>Specified Penalty Amount:</b>	\$ 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:	December 12, 2012
Date of Referral/Self Report:	December 21, 2012	This is the seventh contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On December 12, 2012 at 21:43 MST, the FNG1 asset accepted an energy dispatch to move from 65 MW to 43 MW effective 22:00 MST. However, the output of FNG1 did not move directionally towards the MW quantity of the energy dispatch within 10 minutes of the time specified in the energy market dispatch. In addition, based on a declared ramp rate of 1.5 MW per minute, the FNG1 asset was required to reach the allowable dispatch variance level by 22:30 MST. At this point, FNG1 remained outside its allowable dispatch variance (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 generation and dispatch data for the FNG1 generating asset for December 12, 2012.
2. Self-report from Powerex Corp. dated December 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 18, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 17, 2013

Payment Due Date: February 18, 2013

MSA File Number:	2012-449	<b>Specified Penalty Amount:</b>	\$ 5,000
Market Participant Name:	Cenovus Energy Inc.		
Asset ID (if applicable):	EC04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	OPP 102	Date of Contravention:	June 16, 2012
Date of Referral/Self Report:	December 17, 2012	This is the third contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 16, 2012 between 08:20 and 08:29, the EC04 asset received four dispatches for 72 MW of energy immediate effect. 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 the EC04 asset for June 16, 2012.
2. AESO Information Request issued to Cenovus Energy Inc. dated October 17, 2012.
3. Cenovus Energy Inc. October 31, 2012 response to the AESO Information Request.
4. AESO letter to Cenovus Energy Inc. dated December 17, 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 17, 2013
Name:	Doug Doll	Title:	Manager Compliance

## NOTICE OF SPECIFIED PENALTY

Date of Issue: February 12, 2013

Payment Due Date: March 15, 2013

MSA File Number:	2013-025	<b>Specified Penalty Amount:</b>	\$ 2,500
Market Participant Name:	Grande Prairie Generation, Inc.		
Asset ID (if applicable):	NPP1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.6	Date of Contravention:	December 23, 2012
Date of Referral/Self Report:	January 28, 2013	This is the third contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On December 23, 2012 at 15:43 MST, NPP1 received and accepted an advanced energy dispatch to 40 MW for effect at 16:00. NPP1 failed to change its output within the required time frame and did not synchronize to the grid until 19:36. ISO Rule 6.6.3 (a) states that in accordance with an energy market dispatch, the output of a generating asset must begin to move directionally toward the dispatch level within ten (10) minutes. Further, ISO rule 6.6.3 states that the generating asset must reach generating asset steady state within the period defined by ISO rule 6.6.3 (b)(i).

### 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 generation and dispatch data for the NPP1 generating asset for December 23, 2012.
2. Self-report from Grande Prairie Generation, Inc. to the MSA on January 28, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 12, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: February 21, 2013

Payment Due Date: March 25, 2013

MSA File Number:	2013-028	<b>Specified Penalty Amount:</b>	\$ 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:	October 23, 2012
Date of Referral/Self Report:	February 6, 2013	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On October 23, 2012 at 22:45, an advanced energy dispatch for 22MW was issued to DAI1 for effect at 23:00. At 22:46 the dispatch was rejected. Due to the rejection of the 22 MW dispatch, DAI1 remained dispatched at 10MW, however, between 22:45 and 23:05 DAI1 continued to ramp up. At or about 23:01, the generation level of the asset moved beyond the ADV of the 10MW energy dispatch and remained outside ADV until 23:50 as DAI1 generated at between 20 and 24 MW during this period. DAI1 was observed to generate outside of the ADV level for five 10 minutes clock periods during HE 24.

### 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. Referral from the AESO to the MSA on February 6, 2013.
2. AESO dispatch and generation data for the DAI1 asset for October 23, 2012.
3. DMI response dated January 24, 2013 to the AESO information request.
4. AESO letter to DMI dated February 6, 2013 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 21, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: February 21, 2013

Payment Due Date: March 25, 2013

MSA File Number:	2013-029	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	TransAlta Generation Partnership		
Asset ID (if applicable):	BOW1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	January 7, 2013
Date of Referral/Self Report:	February 6, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On January 7, 2013 at 15:48 MST BOW1 received and accepted a dispatch for 56 MW of regulating reserves effective at 16:00 MST. From 16:00 to 16:50 MST, 36 MW of the dispatched 56 MW was provided by the BOW1 asset. ISO rule 6.5.3 b) states in respect of Regulating Reserve (RR), that the system controller will expect the ancillary service provider to deliver the MW range at the ramp rate stated in the ancillary service dispatch for RR 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. Self-report from TransAlta Generation Partnership to the MSA on February 6, 2013.
2. AESO dispatch and generation data for the BOW1 asset for January 7, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 21, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: February 28, 2013

Payment Due Date: April 1, 2013

MSA File Number:	2013-044	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Capital Power (Alberta) Limited Partnership		
Asset ID (if applicable):	ENC3	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	September 21, 2012
Date of Referral/Self Report:	February 12, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On September 21, 2012 at 01:27 the ENC3 asset was dispatched offline and promptly ramped down in accordance with the dispatch. A subsequent control system error prompted an automatic lockout of the asset for a four hour period; however, the available capacity (AC) for ENC3 remained at 97 MW until 04:55 when an AC restatement was submitted. Section 3.5.3.2 (a) of the ISO Rules states that a pool participant who has submitted an offer must submit an energy restatement restating the AC of the asset for the applicable hour as soon as reasonably practicable, if there is a change to the AC.

### 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. Referral from the AESO to the MSA dated February 12, 2013.
2. AESO dispatch and offer data for the ENC3 asset for September 21, 2012.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 28, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: March 14, 2013

Payment Due Date: April 15, 2013

MSA File Number:	2013-061	<b>Specified Penalty Amount:</b>	\$ 10,000
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:	October 30, 2012
Date of Referral/Self Report:	February 28, 2013	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On October 30, 2012, at approximately 18:26, NPP1 accepted an energy dispatch to 65 MW. Subsequently, at approximately 18:33 NPP1 accepted an energy dispatch to 75 MW. At approximately 18:59, NPP1 accepted an energy dispatch to 65 MW. Between 18:26 and 19:34, NPP1 output remained at or about 38 MW. ISO rule 6.6.3 indicates that the output of a generating asset which is the subject of an energy market dispatch must be changed to move directionally toward 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 on October 30, 2012.
2. AESO information request dated February 4, 2013 issued to Constellation Energy Commodities Group.
3. Constellation Energy Commodities Group response dated February 18, 2013 to the AESO information request.
4. Referral from the AESO to the MSA dated February 28, 2013.

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 14, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: March 22, 2013

Payment Due Date: April 22, 2013

MSA File Number:	2013-071	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Capital Power (Alberta) Limited Partnership		
Asset ID (if applicable):	ENC3	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.6.2	Date of Contravention:	November 13, 2012
Date of Referral/Self Report:	March 12, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On November 13, 2012 the ENC3 generating asset tripped offline at or about 19:12 while dispatched for 63 MW of energy and 34 MW of SUPG reserves. ENC3 subsequently restated its available capability (AC) to 0 MW, however, the reserve capability for ENC3 remained at 34 MW between 19:12 and 19:37 during which the asset remained offline. ISO rule 3.6.2 states that ancillary service providers are required to submit an initial declaration for each asset and thereafter are required to restate changes in the capability of the asset to deliver the service.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 3.6.2.

### MATERIAL FACTS

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

1. AESO AC, generation, dispatch, and ancillary service declaration data for ENC3 for November 13, 2012.
2. AESO February 21, 2013 information request issued to Capital Power.
3. Capital Power March 5, 2013 response to the AESO information request.
4. Referral from the AESO to the MSA dated March 12, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 22, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services



## NOTICE OF SPECIFIED PENALTY

Date of Issue: May 1, 2013

Payment Due Date: May 31, 2013

MSA File Number:	2013-089	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Nexen Inc.		
Asset ID (if applicable):	NX01	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	OPP 404	Date of Contravention:	March 1, 2013
Date of Referral/Self Report:	March 26, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On March 1, 2013 NX01 was issued an advance dispatch instruction for effect at 02:00 to maintain a prior energy dispatch level of 39 MW and to reduce regulating reserves from 25 MW to 15 MW. NX01 rejected the dispatch instruction and continued to provide 25 MW of regulating reserves until approximately 02:30. OPP 404 indicates that when an ancillary services provider rejects an ancillary service dispatch, the participant is required to contact the system controller to provide a reason for rejecting the dispatch and to restate its ancillary services availability. In this case, the dispatch was rejected at approximately 01:41, however, the system controller was not contacted until approximately 02:28 and no reason was provided for NX01 to be unable to follow the dispatch to 15 MW of regulating reserves.

### FINDINGS

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

### MATERIAL FACTS

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

1. AESO generation and dispatch data for NX01 for March 1, 2013
2. Self-report from Nexen Inc. to the MSA on March 26, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 1, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: May 3, 2013

Payment Due Date: June 3, 2013

MSA File Number:	2013-147	<b>Specified Penalty Amount:</b>	\$ 750
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	April 1, 2013
Date of Referral/Self Report:	April 29, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On April 1, 2013 at or about 10:42 MDT the FNG1 asset accepted an advance energy dispatch up from 51 MW to 56 MW effective at 11:00 MDT. FNG1 subsequently ramped up in response to the 56 MW dispatch at the effective time however, FNG1 continued to ramp beyond the dispatched level and accordingly, generated between 1 – 2 MW beyond the allowable dispatch variance (ADV) for four 10 minute clock periods between 11:15 MDT and 12:00 MDT. ISO rules section 203.4 requires that the average MW quantity delivered from a generating source asset in any 10 minute clock period must not vary from the dispatch MW quantity by more than the allowable dispatch variance.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.4.

### MATERIAL FACTS

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

1. AESO generation and dispatch data for FNG1 for April 1, 2013.
2. Self-report from Powerex Corp. to the MSA dated April 29, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 3, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: June 28, 2013

Payment Due Date: July 29, 2013

MSA File Number:	2013-207	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Capital Power PPA Management Inc.		
Asset ID (if applicable):	SD5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	March 5, 2013
Date of Referral/Self Report:	June 4, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On March 5, 2013 at 15:31, SD5 was issued an ancillary services directive to provide 25 MW of spinning reserve (SR) and 55 MW of supplemental reserve (SUPG). At 15:33, Capital Power Energy Management Operations Center contacted the AESO System Controller to communicate that the unit was slow to ramp, but would achieve the directive. Information available to the MSA revealed that in the period between 15:41 and 15:43 SD5 failed to meet the MW volume requirement associated with the ancillary services directive. ISO rule 6.5.3 indicates 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. ISO rule 6.5.3 further indicates that for 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 SD5 on March 5, 2013.
2. Referral from the AESO to the MSA dated June 4, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 28, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: June 28, 2013

Payment Due Date: July 29, 2013

MSA File Number:	2013-208	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Northstone Power Corp.		
Asset ID (if applicable):	NPC1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	May 19, 2013
Date of Referral/Self Report:	June 2, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On May 19, 2013 at 10:06, the NPC1 asset was issued an ancillary services directive to provide 10 MW of supplemental reserve (SUPG). The operator indicated that response to the directive was delayed due to a tripped breaker. Information available to the MSA confirmed that the NPC1 asset did not meet the MW volume requirement associated with the ancillary services directive until 10:18. ISO rule 6.5.3 indicates 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. ISO rule 6.5.3 further indicates that for 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 NPC1 on May 19, 2013.
2. Self-report from Northstone Power Corp. to the MSA on June 2, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 28, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: July 02, 2013

Payment Due Date: August 01, 2013

MSA File Number:	2013-229	<b>Specified Penalty Amount:</b>	\$ 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:	203.4	Date of Contravention:	May 31, 2013
Date of Referral/Self Report:	June 25, 2013	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On May 31, 2013 at 23:01 MDT the FNG1 asset accepted an energy dispatch up from 23 MW to 47 MW, for immediate effect. At 23:20 MDT, FNG1 accepted an energy dispatch down from 47 MW to 23 MW, effective immediately. In both instances, the output of the asset did not move directionally toward the dispatch level within 10 minutes of the time specified in the dispatch. In addition, based on its declared ramp rate of 1.5 MW per minute, the FNG1 asset was required to be generating within the allowable dispatch variance (ADV) of the 23:20 dispatch by 23:52 MDT. From 23: 22 to the end of the delivery hour, FNG1 output remained unchanged at or about 19 MW outside the ADV.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.4.

### MATERIAL FACTS

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

1. Self-report from Powerex Corp. to the MSA dated June 25, 2013.
2. AESO generation and dispatch data for FNG1 for May 31, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 02, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: August 7, 2013

Payment Due Date: September 9, 2013

MSA File Number:	2013-241	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Milner Power Limited Partnership by its General Partner Milner Power Inc.		
Asset ID (if applicable):	HRM	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	July 1-4, 2013
Date of Referral/Self Report:	July 8, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

From HE 13 on July 1, 2013 through to HE 13 on July 4, 2013, HR Milner (HRM) declared its available capability (AC) to be 144 MW while HRM remained offline due to an extension of its annual turnaround. A revised start time for HRM was entered via the Automated Dispatch and Messaging System (ADaMS) to reflect the maintenance extension, however, the prevailing declaration of AC was not accordingly restated from 144 MW to 0 MW until July 4, 2013. ISO rule section 203.3 indicates that a pool participant with a submitted offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3

### MATERIAL FACTS

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

1. Self-report from Milner Power Limited Partnership by its General Partner Milner Power Inc. to the MSA on July 8, 2013.
2. AESO generation, available capability, and dispatch data for HRM for July 1<sup>st</sup> to July 4<sup>th</sup>, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 7, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: August 7, 2013

Payment Due Date: September 9, 2013

MSA File Number:	2013-250	<b>Specified Penalty Amount:</b>	\$ 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:	3.6.2	Date of Contravention:	April 16, 2013
Date of Referral/Self Report:	July 12, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On April 15<sup>th</sup> at 19:27, HRM restated AC and MSG to 60 MW for HE 03 and HE 04 on April 16<sup>th</sup> in preparation to conduct required mill maintenance. HRM was contracted to provide active spinning reserves (SR) for the off-peak period from HE 24 on April 15<sup>th</sup> through HE 07 on April 16<sup>th</sup>, accordingly, on April 15<sup>th</sup> at 22:23, HRM was dispatched for 35 MW of SR effective at 23:00. On April 16<sup>th</sup> at 01:42, HRM received and accepted an energy dispatch to 25 MW effective at 02:00. Beginning at 02:00 until 02:58, HRM was dispatched for 25 MW of energy and 35 MW of SR however, during this period HRM maintained a generation level at or about 60 MW. Accordingly, given that AC was declared as 60 MW and generation remained at or about 60 MW between 02:00 and 02:58, HRM was not capable of providing the 35 MW of SR during this period. ISO rule 3.6.2 states that ancillary services providers are required to submit an initial declaration for each asset and thereafter are required to restate changes in the capability of the asset to deliver the service.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 3.6.2

### MATERIAL FACTS

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

1. AESO referral to the MSA dated July 12, 2013.
2. AESO generation, available capability, minimum stable generation, and dispatch data for HRM for April 16<sup>th</sup>, 2013.

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 7, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: July 26, 2013

Payment Due Date: August 26, 2013

MSA File Number:	2013-269	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	TransAlta Energy Marketing Corporation		
Asset ID (if applicable):	TEBC	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	201.7	Date of Contravention:	June 15, 2013
Date of Referral/Self Report:	July 18, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 15, 2013 between 00:40 and 00:50, TEBC received two dispatches for 50 MW effective at 01:00 that were neither accepted nor rejected within the required time period. Further, between 06:51 and 07:05, TEBC received three dispatches to 0 MW. The first two dispatch instructions were effective at 07:00 and the third dispatch was for immediate effect. These dispatches were neither accepted nor rejected within the required time period. ISO rule section 201.7 requires that for an interchange transaction, a pool participant must acknowledge receipt of a dispatch within 5 minutes.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 201.7.

### MATERIAL FACTS

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

1. Self-report from TransAlta Energy Marketing Corporation to the MSA on July 18, 2013.
2. AESO dispatch data for TEBC for June 15, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 26, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services



## NOTICE OF SPECIFIED PENALTY

Date of Issue: August 6, 2013

Payment Due Date: September 6, 2013

MSA File Number:	2013-277	<b>Specified Penalty Amount:</b>	\$ 750
Market Participant Name:	Nexen Inc.		
Asset ID (if applicable):	NX02	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	June 28, 2013
Date of Referral/Self Report:	July 18, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 27, 2013 at approximately 19:15, the Long Lake facility (NX02) was islanded from the Alberta Interconnected Electric System (AIES) by an export restriction prompted by a transmission event on the system. Prior to this event, NX02 was dispatched to 160 MW. As a result of the event, NX02 promptly decreased generation output to approximately 85 MW based upon on-site requirements. At approximately 21:57, the export restriction islanding the facility was lifted, however, NX02 remained at an output level of 85 MW while dispatched to 160 MW until 01:10 on June 28, 2013. ISO rule 203.4 states that a pool participant must operate its generating source assets or cause them to be operated; and respond to dispatches from the ISO, using good electric industry practice, including the design, implementation, and use of reasonable dispatch protocols, together with personnel and software systems designed to detect and address errors or omissions in a timely fashion.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.4

### MATERIAL FACTS

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

1. Self-report from Nexen ULC to the MSA on July 18, 2013.
2. AESO generation, dispatch, and Available Capability data for NX02 for June 27-28, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 6, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: August 16, 2013

Payment Due Date: September 16, 2013

MSA File Number:	2013-281	<b>Specified Penalty Amount:</b>	\$ 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:	203.4	Date of Contravention:	July 26, 2013
Date of Referral/Self Report:	August 1, 2013	This is the third contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

At 09:41 MDT on July 26, 2013, the FNG1 asset accepted an advance energy dispatch to move from 30 MW to 46 MW, effective at 10:00 MDT. The FNG1 asset did not begin to move directionally toward the new dispatch level until approximately 10:16 MDT, after a subsequent dispatch to 47 MW was issued to FNG1 at 10:15 MDT. ISO rule section 203.4 requires that the output of a generating asset which is the subject of an energy market dispatch must be changed to move directionally towards the MW quantity indicated in the energy market dispatch within 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 203.4.

### MATERIAL FACTS

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

1. Self-report from Powerex Corp. to the MSA dated August 15, 2013.
2. AESO generation and dispatch data for FNG1 for July 26, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 16, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: August 16, 2013

Payment Due Date: September 16, 2013

MSA File Number:	2013-287	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	August 6, 2013
Date of Referral/Self Report:	August 12, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

At approximately 18:17 MDT on August 6, 2013, the Fort Nelson Generating Station experienced an operational problem forcing the FNG1 generating asset offline. At the time of the operational problem, the declared available capability (AC) of FNG1 was 54 MW. At 18:19 MDT, AC for FNG1 for HE 20 and HE 21 was restated from 54 MW to 0 MW; however, AC remained unchanged at 54 MW for the duration of the current hour (HE 19) during which FNG1 was offline and not capable of generating. ISO Rule section 203.3(2) requires that a pool participant who has submitted an offer must, if there is a change to AC as a result of an acceptable operational reason, submit an available capability restatement revising AC for the applicable hours, as soon as reasonably practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

### MATERIAL FACTS

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

1. Self-report from Powerex Corp. to the MSA dated August 15, 2013.
2. AESO generation and dispatch data for FNG1 for August 6, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 16, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: September 24, 2013

Payment Due Date: October 25, 2013

MSA File Number:	2013-292	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Algonquin Power Operating Trust		
Asset ID (if applicable):	DKSN	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.7	Date of Contravention:	April 23, 2013
Date of Referral/Self Report:	August 20, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

Between April 22, 2013 at approximately 23:44 and April 23, 2013 at approximately 00:42, the Alberta Electric System Operator (AESO) was attempting to dispatch Dickson Dam (DKSN) via the Automatic Dispatch and Messaging System (ADaMS) to 8 MW for HE 1 on April 23, 2013. During this period 12 dispatch instructions were issued and were neither accepted nor rejected within the prescribed period and consequently, timed out before a dispatch to 8 MW was accepted at 00:42. ISO Rule 201.7 requires that a pool participant must acknowledge receipt of a dispatch within two (2) minutes for an intra-Alberta transaction unless the pool participant has notified the AESO of an outage at its facilities of the ADaMS system or other electronic communications systems pursuant to 4(1) of ISO rule section 201.7.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 201.7.

### MATERIAL FACTS

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

1. AESO referral to the MSA dated August 20, 2013.
2. AESO dispatch data for DKSN for April 22 - 23, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 24, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: September 17, 2013

Payment Due Date: October 18, 2013

MSA File Number:	2013-308	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	TransAlta Generation Partnership		
Asset ID (if applicable):	BRA	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	May 2, 2013
Date of Referral/Self Report:	September 9, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On April 15, 2013, at 14:31, TransAlta notified the AESO of maintenance work at the BRA asset via an energy offer submission restating available capability (AC) to 160 MW beginning in HE 09 on April 26, 2013 and extending to HE 18 on May 2, 2013. A 10:45 restatement on April 25, 2013 subsequently restated AC for HE 18 on May 2, 2013 from 160 MW to 350 MW. On May 2, 2013, TransAlta determined that additional mechanical repairs were required which would delay BRA unit 2 from returning to service as planned. At or about 16:41 on May 2, 2013, TransAlta submitted an energy restatement restating the AC for the BRA asset from 350 MW to 160 MW for HE 18 to HE 24 including the stated reason "forced outage" to reflect the extension to the original outage. Information available to the MSA indicates that while the 16:41 restatement was made for a valid operational reason, TransAlta had knowledge several hours prior to the 16:41 restatement, that the outage would require extension. Given that TransAlta did not restate AC for the HE 18-24 period until 16:41, TransAlta appears not to have restated as soon as reasonably practicable in this case. ISO rule section 203.3 states that a pool participant with a submitted offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

### MATERIAL FACTS

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

1. AESO energy offer and restatement data for the BRA asset on May 2, 2013.
2. Referral from the AESO dated September 9, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 17, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 3, 2013

Payment Due Date: November 4, 2013

MSA File Number:	2013-322	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	June 29, 2013
Date of Referral/Self Report:	September 18, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 29, 2013 at 11:21 the AESO System Controller (SC) directed GN2, via ADaMS, to provide 10 MW of supplemental reserve (SUPG). While the GN2 generation asset responded promptly to the directive and achieved the required output level within the specified time frame, subsequent unit output variations while the directive remained in effect resulted in the failure to maintain the required generation level for the duration of the directive. ISO rule 6.5.3 states "When accepting an ancillary service dispatch and receiving an ancillary service directive, ancillary service providers must meet specific service expectations. 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 generation and dispatch data for GN2 for June 29, 2013.
2. AESO Information Request to the Balancing Pool dated August 27, 2013.
3. Balancing Pool September 10, 2013 response to the AESO Information Request.
4. AESO letter to the Balancing Pool dated September 18, 2013 notifying the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 3, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 7, 2013

Payment Due Date: November 7, 2013

MSA File Number:	2013-325	<b>Specified Penalty Amount:</b>	\$ 1,500
Market Participant Name:	Capital Power PPA Management Inc.		
Asset ID (if applicable):	SD5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	June 28, 2013
Date of Referral/Self Report:	September 18, 2013	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 28, 2013, SD5 was dispatched for 5 MW of supplemental reserve generation (SUPG) and 16 MW of spinning reserve (SR). At 16:13 MST, the AESO system controller directed SD5 to provide the 5 MW of SUPG. At 16:21 MST, the AESO system controller directed SD5 to provide the 16 MW of SR. Information available to the MSA indicates that following the 16:21 directive, SD5 failed to provide the additional generation required maintain compliance with the SUPG directive and subsequently, to comply with the SR directive. ISO rule 6.5.3 states that for 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 SD5 for June 28, 2013.
2. AESO information request to Capital Power dated August 29, 2013.
3. Capital Power September 13, 2013 response to the AESO information request.
4. AESO letter to Capital Power dated September 18, 2013 notifying referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 7, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services



## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 7, 2013

Payment Due Date: November 7, 2013

MSA File Number:	2013-330	<b>Specified Penalty Amount:</b>	\$ 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:	203.4	Date of Contravention:	September 7, 2013
Date of Referral/Self Report:	September 27, 2013	This is the fourth contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

At 07:40 MDT on September 7, 2013, FNG1 accepted an advance energy dispatch to move from 49 MW to 67 MW, effective at 08:00 MDT. The FNG1 asset did not begin to move directionally toward the new dispatch level until receiving a subsequent dispatch to 64 MW at 08:51 MDT. Following the 08:51 dispatch, FNG1 began moving directionally toward the new dispatch level within 10 minutes and output reached within the ADV of its 64 MW dispatch level at approximately 09:06 MDT. ISO rule section 203.4 requires that the output of a generating asset which is the subject of an energy market dispatch must be changed to move directionally towards the MW quantity indicated in the energy market dispatch within 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 203.4

### MATERIAL FACTS

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

1. Self-report from Powerex Corp. to the MSA dated September 27, 2013.
2. AESO generation and dispatch data for FNG1 for September 7, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 7, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services



## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 16, 2013

Payment Due Date: November 18, 2013

MSA File Number:	2013-331	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	REXS	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	July 22, 2013
Date of Referral/Self Report:	September 30, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

For July 22, 2013, for settlement intervals HE 19 to HE 23, no offer control information was submitted in respect of non-zero MW export bids submitted for each of these settlement intervals. ISO rule section 201.3 requires that Pool Participants who submit a bid for an export interchange transaction must provide Offer Control information for any operating block in the offer with a quantity greater than zero (0) MW. ISO rule section 201.3 further requires that this information is submitted to the AESO no later than 30 days after the settlement interval to which the offer control information applies.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 201.3.

### MATERIAL FACTS

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

1. AESO export bid data for the REXS asset for July 22, 2013.
2. AESO September 30, 2013 letter to Rainbow Energy notifying the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 16, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 16, 2013

Payment Due Date: November 18, 2013

MSA File Number:	2013-342	<b>Specified Penalty Amount:</b>	\$ 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:	201.3	Dates of Contravention:	July 1/ 2/ 19/ 21/ 26/ 27/ 28/ 29/ 30, 2013
Date of Referral/Self Report:	October 4, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

For settlement intervals on the above noted dates in July, 2013, no offer control information was submitted in respect of non-zero MW EC04 offers. ISO rule section 201.3 requires that Offer Control information must be provided for any operating block in the offer with a quantity greater than zero (0) MW. ISO rule section 201.3 further requires this information is submitted to the AESO no later than 30 days after the settlement interval to which the offer control information applies.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that these events were contraventions of ISO Rule 201.3.

### MATERIAL FACTS

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

1. AESO offer data for EC04 for July 1, 2013 – July 31, 2013.
2. AESO October 4, 2013 letter to Cenovus notifying 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 16, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 16, 2013

Payment Due Date: November 18, 2013

MSA File Number:	2013-343	<b>Specified Penalty Amount:</b>	\$ 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:	201.3	Date of Contravention:	July 7, 2013
Date of Referral/Self Report:	October 4, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

For July 7, 2013, for settlement intervals HE 01 – HE 09 and HE 14 – HE 15, no offer control information was submitted in respect of non-zero MW HRM offers. ISO rule section 201.3 requires that Offer Control information must be provided for any operating block in the offer with a quantity greater than zero (0) MW. ISO rule section 201.3 further requires that this information is submitted to the AESO no later than 30 days after the settlement interval to which the offer control information applies.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that these events were contraventions of ISO Rule 201.3.

### MATERIAL FACTS

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

1. AESO offer data for HRM for July 7, 2013.
2. Referral from the AESO to the MSA dated October 4, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 16, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 30, 2013

Payment Due Date: December 2, 2013

MSA File Number:	2013-349	<b>Specified Penalty Amount:</b>	\$ 1,500
Market Participant Name:	TransAlta Generation Partnership		
Asset ID (if applicable):	BOW1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	June 3, 2013
Date of Referral/Self Report:	October 10, 2013	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 3, 2013 at approximately 13:51, the AESO system controller issued ancillary services directives to BOW1 for 42 MW of spinning reserves (SR) and for 12 MW of supplemental reserves (SUPG). At 14:01 the SUPG directive was cancelled; however, the SR directive remained in effect. Information available to the MSA indicates that BOW1 failed to provide an incremental 42 MW within 10 minutes of the directive due to operator error. ISO Rule 6.5.3 states that for 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 information request (IR) issued to TransAlta Generation Partnership on September 11, 2013.
2. TransAlta Generation Partnership IR response to the AESO dated September 26, 2013.
3. AESO letter to TransAlta Generation Partnership dated October 10, 2013 indicating 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 30, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 1, 2013

Payment Due Date: December 2, 2013

MSA File Number:	2013-351	<b>Specified Penalty Amount:</b>	\$ 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:	203.3	Date of Contravention:	July 6, 2013
Date of Referral/Self Report:	October 15, 2013	This is the second contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 6, 2013, during HE 09, the HRM generating asset was preparing to come back online following a maintenance turnaround and began to ramp up at approximately 08:40. At approximately 09:03 Milner Power experienced an auxiliary transformer breaker trip causing HRM to trip offline and the station to black-out. The station black-out condition ended after 10 minutes; however, declared AC remained at 15 MW for the remainder of HE 10, HE 11 and HE 12 while HRM remained offline. An AC restatement was submitted for HRM at 12:24 restating AC from 15 MW to 0 MW. ISO Rule 203.3 states that a pool participant with a submitted offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

### MATERIAL FACTS

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

1. AESO information request issued to Milner Power Limited Partnership on September 25, 2013.
2. Milner Power Limited Partnership's October 10, 2013 response to the AESO information request.
3. AESO letter dated October 15, 2013 to Milner Power Limited Partnership indicating referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 1, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 1, 2013

Payment Due Date: December 2, 2013

MSA File Number:	2013-360	<b>Specified Penalty Amount:</b>	\$ 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:	June 19, 2013
Date of Referral/Self Report:	October 22, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 19, 2013, at approximately 20:58, the AESO issued an ancillary services directive to the DRW1 generating unit to deliver 5 MW of Supplemental Reserve Generation (SUPG). Due to an apparent operational issue, the DRW1 unit was unable to start promptly. Ten minutes following issuance of the directive, DRW1 was generating at or about 1 MW. In this case, the AESO did not receive any written notice of an event of force majeure. ISO Rule 6.5.3 states that for 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 information request issued to BowArk Energy Ltd. on August 22, 2013.
2. BowArk Energy Ltd. response to AESO information request dated September 5, 2013.
3. AESO letter dated October 22, 2013 to BowArk Energy Ltd. indicating referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 1, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 1, 2013

Payment Due Date: December 2, 2013

MSA File Number:	2013-361	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Algonquin Power Operating Trust		
Asset ID (if applicable):	DKSN	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	July 18, 2013
Date of Referral/Self Report:	October 18, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 18, 2013 from approximately 09:27 to 12:15 MST, the DKSN generating asset had a declared available capability (AC) of 10 MW while DKSN was offline and apparently unable to generate due to an operational issue. ISO Rule 203.3 states that a pool participant with a submitted offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

### MATERIAL FACTS

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

1. AESO information request issued to Algonquin Power Operating Trust dated September 25, 2013.
2. Algonquin Power Operating Trust response to the AESO information request dated September 25, 2013.
3. Referral from the AESO to the MSA dated October 18, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 1, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 7, 2013

Payment Due Date: December 9, 2013

MSA File Number:	2013-366	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Imperial Oil Limited		
Asset ID (if applicable):	IOR1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.1	Date of Contravention:	July 2, 2013
Date of Referral/Self Report:	October 22, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 02, 2013, between 10:30 and 12:02, the available capability (AC) declared for the IOR1 generating asset for HE 13 was 103 MW until it was restated to 130 MW at or about 12:02. Information available to the MSA indicated that due to operator error, an inaccurate AC value was initially submitted until it was corrected by the 12:02 restatement. Accordingly, the difference between the AC and MC could not be attributed to an acceptable operational reason as defined in ISO rules. ISO Rule 203.1 indicates that a pool participant that submits an offer must also submit the available capability, in MW, for each source asset which such available capability must equal the maximum capability of the source asset 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 203.1.

### MATERIAL FACTS

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

1. AESO information request issued to Imperial Oil Limited on September 30, 2013.
2. Response to AESO information request by Imperial Oil Limited on October 8, 2013.
3. AESO letter to Imperial Oil Limited dated October 22, 2013 indicating referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 7, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services



## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 7, 2013

Payment Due Date: December 9, 2013

MSA File Number:	2013-376	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Shell Canada Energy by its Managing Partner, Shell Canada Limited		
Asset ID (if applicable):	MKR1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	502.4	Date of Contravention:	September 27, 2013
Date of Referral/Self Report:	October 25, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On September 27, 2013, from 06:00 to approximately 12:56, the MKR1 generating asset was not logged into the AESO's Automated Dispatch and Messaging System (ADaMS). Due to apparent connectivity issues experienced at the MKR1 site beginning in HE 23 on the previous day, the real time desk in Calgary logged in for MKR1; however, information available to the MSA indicated that miscommunication during a shift change resulted in failure of the real time desk to log back in for MKR1 at 06:00. The MSA is of the view that Appendix 1 of ISO Rule 502.4 applies in this case which indicates that the maximum outage time in respect of ADaMS per incident for all Pool Participants receiving dispatches and with total bids or offers of greater than 25 MW is six (6) hours.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 502.4.

### MATERIAL FACTS

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

1. Self-report from Shell Canada Energy to the MSA dated October 25, 2013.

### DELIVERY OF PAYMENT

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 7, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 20, 2013

Payment Due Date: December 20, 2013

MSA File Number:	2013-383	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Nexen Inc. and EnCana Corporation		
Asset ID (if applicable):	NX01	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	July 24, 2013
Date of Referral/Self Report:	October 29, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 24, 2013, while the NX01 source asset was recovering from an operational issue, MW restatements were submitted for NX01 at 15:53, 17:43, 19:49, and 20:41 having the effect of redistributing offer block volumes for HE 18 – HE 22. Information available to the MSA indicated that available capability (AC) restatements could reasonably have accommodated the operating state of the source asset during the relevant period. ISO Rule 203.3 states that a pool participant that submits an offer must submit a MW restatement redistributing the MW to represent the operating state of the source asset, as soon as reasonably practicable, if the source asset cannot comply with the current offer as a result of an operational deviation and an available capability restatement cannot reasonably accommodate the source 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 203.3.

### MATERIAL FACTS

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

1. AESO offer and restatement data for the NX01 source asset for July 24, 2013.
2. AESO Information Request issued to Nexen Inc. and EnCana Corp. on October 2, 2013.
3. Nexen Inc. October 16, 2013 response to the AESO Information Request.
4. AESO letter to the MSA dated October 29, 2013 indicating 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@auc.ab.ca).

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days and no later than 45 days after issuance. The MSA will, if applicable, also post on its website the link to any decision of the AUC respecting the specified penalty.

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

### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 20, 2013

Payment Due Date: December 20, 2013

MSA File Number:	2013-384	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ME03	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	July 2, 2013
Date of Referral/Self Report:	October 29, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 2, 2013 from approximately 10:38 to 12:36, the declared available capability (AC) for the ME03 generating asset during the prevailing settlement intervals was 7 MW, however, information available to the MSA indicated that ME03 was offline and unable to generate during this period due to operational related issues. ISO Rule 203.3 states that a pool participant with a submitted offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

### MATERIAL FACTS

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

1. AESO offer and restatement data and generation data for the ME03 source asset for July 2, 2013.
2. AESO Information Request issued to AltaGas Ltd. on October 3, 2013.
3. AltaGas Ltd. October 24, 2013 response to the AESO Information Request.
4. AESO letter to the MSA dated October 29, 2013 indicating referral of the matter to the MSA.
5. A copy of an event summary by the AltaGas plant foreman forwarded to the MSA by AltaGas Ltd. on October 29, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 20, 2013

Payment Due Date: December 20, 2013

MSA File Number:	2013-385	<b>Specified Penalty Amount:</b>	\$ 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:	203.4	Date of Contravention:	October 6, 2013
Date of Referral/Self Report:	October 30, 2013	This is the fifth contravention both by this asset and by the participant for this rule within a rolling 12 month period.	

### EVENT DETAILS

On October 6, 2013 at 20:29 MDT, the FNG1 generating asset accepted an energy dispatch instruction to move down from an output level of 40 MW to 16 MW, for immediate effect. FNG1 did not begin to ramp down its output until approximately 20:45 MDT (16 minutes later). ISO Rule 203.4 states that a pool participant must move the output of a generating source asset which is the subject of a dispatch and ramping, towards the MW level indicated in that dispatch within ten (10) minutes of the time specified in the dispatch but not prior to the time specified in the dispatch.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.4.

### MATERIAL FACTS

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

1. AESO dispatch and generation data for the FNG1 asset for October 6, 2013.
2. Self-report from Powerex Corp. to the MSA dated October 30, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 20, 2013

Payment Due Date: December 20, 2013

MSA File Number:	2013-392	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Daishowa-Marubeni International Ltd.		
Asset ID (if applicable):	DAI1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	October 15, 2013
Date of Referral/Self Report:	November 6, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On October 15, 2013 for HE 01 through HE 12, and for 12:00 – 12:46 in respect of HE 13, the declared available capability (AC) for the DAI1 generating asset was 52 MW which reflected a standing offer submitted to the AESO for DAI1. Based on information available to the MSA, the standing offer did not accurately reflect the available capability of DAI1 for the noted settlement intervals. AC for all subsequent settlement intervals in the day was restated at 12:46 from 52 MW to 19 MW. The failure of the participant to submit a revised AC declaration for DAI1 prior to HE 01 was attributed to human error. ISO Rule 203.1 indicates that a pool participant that submits an offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

### MATERIAL FACTS

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

1. AESO offer and restatement data for the DAI1 source asset for October 15, 2013.
2. Self-report from Daishowa-Marubeni International Ltd. to the MSA dated November 6, 2013.

### DELIVERY OF PAYMENT

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

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### SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services