

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 15, 2015

Payment Due Date: February 17, 2015

MSA File Number:	2014-417	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	EnerNOC Inc.		
Asset ID (if applicable):	ENCG	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	July 30, 2014
Date of Referral/Self Report:	November 25, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On July 30, 2014 at 13:18, ENCG received an ancillary services directive to provide 24 MW of supplemental reserve load (SUPL). From 13:28 to 13:32, the asset did not provide the total amount of reserve required in the 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 ancillary service directive, ancillary service dispatch, and generation data for ENCG for July 30, 2014.
2. AESO information request issued to EnerNOC Inc. dated November 4, 2014.
3. EnerNOC Inc.'s response to the AESO information request dated November 17, 2014.
4. Referral from the AESO to the MSA dated November 25, 2014.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, 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

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier than receipt of confirmation of payment from the Commission 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:	January 15, 2015
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services