

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 23, 2014

Payment Due Date: February 24, 2014

MSA File Number:	2013-427	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	December 2, 2013
Date of Referral/Self Report:	December 11, 2013	This is the sixth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 2, 2013 at 07:48 MST, the FNG1 asset accepted an advance dispatch to 54 MW, effective at 08:00 MST. The asset was required to reach within ADV of the 54 MW dispatch by 08:40 MST. Shortly into the HE 09 settlement interval, FNG1 experienced an operational issue reducing output capability to approximately 37 MW. The declared available capability for FNG1 for current settlement interval (HE 09) remained at 54 MW for the duration of settlement interval. Accordingly, FNG1 output was approximately 12 MW outside the ADV of its 54 MW dispatch for approximately 20 minutes from 08:40 MST to 09:00. ISO Rule 203.4 states that the average MW quantity delivered by a generating asset in any 10-minute clock period must not vary from the energy market dispatch MW quantity by more than the ADV.

FINDINGS

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

MATERIAL FACTS

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

1. AESO dispatch, generation, and available capability submissions data for FNG1 for December 2, 2013.
2. Self-report from Powerex Corp. to the MSA dated December 11, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 23, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 30, 2014

Payment Due Date: March 3, 2014

MSA File Number:	2013-429	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Alberta-Pacific Forest Industries		
Asset ID (if applicable):	AFG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	August 15, 2013
Date of Referral/Self Report:	December 13, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 15, 2013 at approximately 14:41 the AFG1 generation asset rejected an advanced energy dispatch issued by the AESO to move from 15 MW to 29 MW effective at 15:00. Accordingly, AFG1 remained dispatched to 15 MW for HE 16, however, information available to the MSA indicated that beginning at 15:10, AFG1 generated outside of its allowable dispatch variance (ADV) for five 10 minute clock periods. 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 AFG1 for August 15, 2013.
2. AESO information request issued to Alberta-Pacific Forest Industries on November 7, 2013.
3. Alberta-Pacific Forest Industries response dated November 20, 2013 to AESO information request.
4. AESO letter to Alberta-Pacific Forest Industries dated December 13, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 30, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 31, 2014

Payment Due Date: March 3, 2014

MSA File Number:	2013-430	Specified Penalty Amount:	\$ 500
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.1	Date of Contravention:	August 26, 2013
Date of Referral/Self Report:	December 16, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 26, 2013, from approximately 14:00 to 14:41 the declared available capability (AC) for the MEG1 generating asset was 0 MW while the unit generated at a level at or about 59 MW during this interval. 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 generation and available capability (AC) data for MEG1 for August 26, 2013.
2. AESO information requests issued to MEG1 on November 7, 14, and 29, 2013.
3. MEG1 responses provided to AESO on November 8, 18, and December 12, 2013.
4. AESO letter to MEG1 dated December 16, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 31, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 31, 2014

Payment Due Date: March 4, 2014

MSA File Number:	2013-440	Specified Penalty Amount:	\$ 1,250
Market Participant Name:	Alberta-Pacific Forest Industries		
Asset ID (if applicable):	AFG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	December 12, 2013
Date of Referral/Self Report:	December 19, 2013	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 12, 2013, at approximately 22:23, the AFG1 generating asset received an energy dispatch instruction from the AESO to move from 16 MW to 5 MW for immediate effect. The generation level of AFG1 remained unchanged until approximately 22:54. AFG1 also did not achieve the new level pertaining to the 22:23 dispatch instruction in accordance with section 4(2) of ISO rule section 203.4. 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. In respect of a dispatch, ISO rule 203.4 further requires a generating source asset to reach generating asset steady state within the time parameters set out in 4(2)(a) and 4(2)(b).

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 AFG1 for December 12, 2013.
2. Self-report from Alberta-Pacific Forest Industries to the MSA dated December 19, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 31, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 22, 2014

Payment Due Date: February 24, 2014

MSA File Number:	2014-005	Specified Penalty Amount:	\$ 500
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.7	Date of Contravention:	September 1, 2013
Date of Referral/Self Report:	January 8, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 1, 2013, between 13:45 and 14:32, and in respect of the HE15 settlement interval, the FNG1 asset received a sequence of energy dispatches to 62 MW which timed out without acknowledgement. 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 information request issued to Powerex Corp. dated December 11, 2013.
2. Powerex Corp. response to AESO information request dated December 23, 2013.
3. AESO letter to Powerex Corp. dated January 8, 2014 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 22, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 31, 2014

Payment Due Date: March 3, 2014

MSA File Number:	2014-009	Specified Penalty Amount:	\$ 750
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	SD1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	January 7, 2014
Date of Referral/Self Report:	January 17, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 7, 2014 at 09:41, SD1 received an advanced energy dispatch to 280 MW for effect at 10:00. Subsequently at 09:51, SD1 received a revised advanced dispatch to 250 MW effective at 10:00. The prevailing dispatch level prior to the 09:41 dispatch was 250 MW, accordingly, the 09:51 dispatch instructed SD1 to remain in a steady state at the 250 MW generation level. At approximately 10:10, SD1 begin to ramp up, moving outside of its allowable dispatch variance (ADV). The generation level of the SD1 asset remained outside ADV until approximately 10:40. ISO rule section 203.4 states that a pool participant must not, during generating asset steady state, vary the average MW it delivers from a generating source asset in any 10 minute clock period from the dispatch MW 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 SD1 for January 7, 2014.
2. Self-report from TransCanada Energy Ltd. to the MSA dated January 17, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	January 31, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 4, 2014

Payment Due Date: March 7, 2014

MSA File Number:	2014-018	Specified Penalty Amount:	\$ 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:	January 24, 2014
Date of Referral/Self Report:	January 28, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 24, 2014, at approximately 19:52, NPC1 received an ancillary services directive to provide 11 MW of energy associated with its dispatch for 11 MW of Supplemental Reserves Generation (SUPG). NPC1 reacted promptly to the directive instruction however, due to an operational issue, NPC1 failed to achieve the directed level of generation within the prescribed time frame. The directive to NPC1 was withdrawn at 20:05. 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. Self-report from Northstone Power Corp. to the MSA dated January 28, 2014.
2. AESO generation and dispatch data for NPC1 for January 24, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 4, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 25, 2014

Payment Due Date: March 27, 2014

MSA File Number:	2014-048	Specified Penalty Amount:	\$ 750
Market Participant Name:	TransCanada Energy Ltd.		
Asset ID (if applicable):	SD2	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	January 15, 2014
Date of Referral/Self Report:	February 10, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 15, 2014 at 22:09, the SD2 generating asset was dispatched from 250 MW to 200 MW for immediate effect. Information available to the MSA indicated that SD2 did not begin to move directionally toward the revised dispatch level until 22:23. ISO rule section 203.4 states that a pool participant must move the output of a generating source asset which is: a) the subject of a dispatch and b) ramping, towards the MW level indicated within ten (10) minutes of the time specified in the dispatch but not prior to 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 SD2 for January 15, 2014.
2. Self-report from TransCanada Energy Ltd. to the MSA dated February 10, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	February 25, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 3, 2014

Payment Due Date: April 4, 2014

MSA File Number:	2014-067	Specified Penalty Amount:	\$ 250
Market Participant Name:	Alberta-Pacific Forest Industries		
Asset ID (if applicable):	AFG1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	February 5, 2014
Date of Referral/Self Report:	February 25, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 5, 2014, a MW restatement was submitted to the AESO for the AFG1 generating asset at approximately 23:11 having the effect of repositioning HE 24 offer block volumes following a turbine shutdown. Information available to the MSA indicated that the reduction in plant availability could reasonably have been accommodated by the use of an AC restatement. ISO rule section 203.3 stipulates that a pool participant may only use a MW restatement to redistribute MW offer volumes if an available capability (AC) 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 generation, dispatch, and offer restatement data for AFG1 for February 5, 2014.
2. Self-report from Alberta-Pacific Forest Industries to the MSA dated February 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 3, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 21, 2014

Payment Due Date: April 21, 2014

MSA File Number:	2014-083	Specified Penalty Amount:	\$ 250
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	PWSR	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	3.6.2	Date of Contravention:	February 12, 2014
Date of Referral/Self Report:	March 11, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On February 12, 2014, Powerex Corp. intended to provide 80 MW of active spinning reserve service (SR) to the AESO for off-peak hours (HE1-7, HE24) via asset ID PWSR. Due to a restatement error, the HE 24 ancillary services offer was restated to 0 MW and remained unchanged until 22:58 when Powerex notified the system controller. 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. Rule 3.6.2 further states that Information, which has been declared, remains in effect until the pool participant submits a change through the restatement process.

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 offer and dispatch data for PWSR for February 12, 2014.
2. Self-report from Powerex Corp. to the MSA dated March 11, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 21, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 21, 2014

Payment Due Date: April 21, 2014

MSA File Number:	2014-089	Specified Penalty Amount:	\$ 250
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ALP1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	3.6.3	Date of Contravention:	March 5, 2014
Date of Referral/Self Report:	March 13, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 5, 2014 the ALP1 generating asset was dispatched to provide 6 MW of active supplemental reserve service (SUPG) during on-peak hours (HE8-HE23). Between HE 13 to HE 18, ALP1 increased its output such that the dispatched reserve MW volume was not maintained while ancillary services availability declarations remained unchanged. ISO rule 3.6.3 states that pool participants must restate the capability of an asset, in a timely manner, if there is a material change in capability to supply the ancillary service.

FINDINGS

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

MATERIAL FACTS

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

1. AESO offer, generation, and dispatch data for ALP1 for March 5, 2014.
2. Self-report from AltaGas Ltd. to the MSA dated March 13, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 21, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: March 21, 2014

Payment Due Date: April 21, 2014

MSA File Number:	2014-094	Specified Penalty Amount:	\$ 750
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	201.7	Date of Contravention:	March 5, 2014
Date of Referral/Self Report:	March 17, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 5, 2014 between 15:41 and 15:51, and in respect of the HE 17 settlement interval, FNG1 received a sequence of energy dispatches, all of which timed out without acknowledgement. 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 dispatch data for FNG1 for March 5, 2014.
2. Self-report from Powerex Corp. to the MSA dated March 17, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	March 21, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 28, 2014

Payment Due Date: May 28, 2014

MSA File Number:	2014-122	Specified Penalty Amount:	\$ 500
Market Participant Name:	Talisman Energy Canada (Edson)		
Asset ID (if applicable):	TLM2	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	November 29, 2013
Date of Referral/Self Report:	April 16, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 29, 2013, between 17:35 and 19:59, the TLM2 generation asset had a declared available capability (AC) of 0 MW while the asset generated at or about 10 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 Available Capability and generation data for the TLM2 source asset for November 29, 2013.
2. AESO Information Request issued to Talisman Energy Canada (Edson) on March 13, 2014.
3. Talisman Energy Canada March 17, 2014 response to the AESO Information Request.
4. A copy of an email communication from Talisman Energy Canada (Edson) to the AESO dated April 7, 2014.
5. AESO letter to the MSA dated April 16, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 28, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 2, 2014

Payment Due Date: June 2, 2014

MSA File Number:	2014-130	Specified Penalty Amount:	\$ 750
Market Participant Name:	Syncrude Canada Ltd.		
Asset ID (if applicable):	SCL1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	March 29, 2013
Date of Referral/Self Report:	April 24, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 29, 2014, SCL1 failed to restate the declared available capability (AC) within 20 minutes following the commencement of an operational deviation. ISO rule section 203.4 states that a pool participant must if an operational deviation extends for twenty (20) minutes or longer, submit an available capability restatement or MW restatement for the generating source asset.

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 SCL1 for March 29, 2014.
2. Self-report from Syncrude Canada Ltd to the MSA dated April 24, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 2, 2014

Payment Due Date: June 2, 2014

MSA File Number:	2014-138	Specified Penalty Amount:	\$ 1500
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:	September 27, 2013
Date of Referral/Self Report:	April 29, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

For September 27, 2013, for settlement intervals HE 01 – 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 September 27, 2013.
2. AESO information request issued to HRM on March 2, 2014.
3. HRM response to AESO information request on March 21, 2014.
4. AESO referral of the matter to the MSA dated April 29, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 2, 2014

Payment Due Date: June 2, 2014

MSA File Number:	2014-140	Specified Penalty Amount:	\$ 500
Market Participant Name:	Nexen Inc.		
Asset ID (if applicable):	NX02	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	October 9, 2013
Date of Referral/Self Report:	April 29, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

For October 9, 2013, for settlement intervals HE 01 – HE 24, no offer control information was submitted in respect of non-zero MW NX02 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 NX02 for October 9, 2013.
2. AESO information request issued to NX02 on March 3, 2014.
3. NX02 response to AESO information request provided on March 17, 2014.
4. AESO referral of the matter to the MSA dated April 29, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 2, 2014

Payment Due Date: June 2, 2014

MSA File Number:	2014-142	Specified Penalty Amount:	\$ 500
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	November 16, 2013
Date of Referral/Self Report:	April 30, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 16, 2013, during HE 10, MEG1 was dispatched to and was generating at approximately 155 MW. At approximately 09:37, the MEG1 generation asset experienced a turbine trip. Following the trip until approximately 11:45, MEG1 was generating at or about 70 MW while declared available capability (AC) remained at 155 MW during the relevant period. 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 generation and available capability (AC) data for MEG1 for November 16, 2013.
2. AESO information requests issued to MEG1 on March 10, 2014.
3. MEG1 responses provided to AESO on March 31, 2014.
4. AESO letter to MEG1 dated April 30, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 5, 2014

Payment Due Date: June 5, 2014

MSA File Number:	2014-146	Specified Penalty Amount:	\$ 1500
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:	November 9, 2013
Date of Referral/Self Report:	May 1, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

For each of the settlement intervals from HE01 through HE24 on November 9, 2013, no offer control information was submitted to the Alberta Electric System Operator (AESO) in respect of non-zero MW offers for the EC04 generating asset. 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 November 9, 2013.
2. AESO information request issued to EC04 on March 3, 2014.
3. EC04 response to AESO information request provided on March 6 2014.
4. AESO May 1, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 5, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 9, 2014

Payment Due Date: June 9, 2014

MSA File Number:	2014-150	Specified Penalty Amount:	\$ 750
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:	April 28 – May 2, 2014
Date of Referral/Self Report:	May 6, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

Between HE 09 on April 28, 2014 and HE 14 on May 2, 2014, the declared available capability (AC) for the DAI1 generating asset was 52 MW. Based upon information available to the MSA, the declared AC did not accurately represent the available capability of DAI1 during this interval. ISO rule 203.3 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 April 28 to May 2, 2014.
2. Self-report from Daishowa-Marubeni International Ltd. to the MSA dated May 6, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 9, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 14, 2014

Payment Due Date: June 13, 2014

MSA File Number:	2014-159	Specified Penalty Amount:	\$ 500
Market Participant Name:	University of Calgary		
Asset ID (if applicable):	UOC1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	December 31, 2013
Date of Referral/Self Report:	May 8, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 31, 2014, for the settlement intervals HE02 to HE24, UOC1 had a declared available capability (AC) of 7 MW while the asset was offline for operational reasons. Based upon information available to the MSA, the declared AC did not accurately represent the available capability of UOC1 during this interval. ISO rule 203.3 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 available capability (AC), dispatch, and generation data pertaining to UOC1 for December 31, 2013.
2. AESO information request issued to UOC1 on March 24, 2014.
3. UOC1 response to information request provided to the AESO on April 1, 2014.
4. AESO letter to UOC1 dated May 8, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 14, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 2, 2014

Payment Due Date: July 3, 2014

MSA File Number:	2014-176	Specified Penalty Amount:	\$ 250
Market Participant Name:	Cenovus FCCL Ltd.		
Asset ID (if applicable):	EC04	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	201.7	Dates of Contravention:	March 27, 2014
Date of Referral/Self Report:	May 21, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 27, 2014 between 11:08 and 11:20, and in respect of the HE 12 settlement interval, EC04 received a sequence of energy dispatches, all of which timed out without acknowledgement. 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 these events were contraventions of ISO Rule 201.7.

MATERIAL FACTS

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

1. AESO dispatch data for EC04 for March 27, 2014.
2. Self-report from Cenovus FCCL Ltd. to the MSA dated May 21, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 2, 2014

Payment Due Date: July 3, 2014

MSA File Number:	2014-179	Specified Penalty Amount:	\$ 5,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	April 26, 2014
Date of Referral/Self Report:	May 22, 2014	This is the sixth contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 26, 2014 at 22:44 MST, the FNG1 generating asset accepted an advance dispatch to move from 50 MW to 22 MW, for effect at 23:00 MST. Subsequent to the effective time of the 22:44 dispatch, FNG1 failed to move directionally toward the new dispatch level within 10 minutes and continued to generate at a level between 45 MW and 48 MW until 02:35. 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, toward the MW level indicated in the dispatch within ten (10) minutes of the time specified in the dispatch but not prior to the dispatch. Further, ISO rule 203.4 indicates that a pool participant must ensure that the generating source asset reaches generating asset steady state by no longer than the period set out in section 4(2)(b).

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, generation, and available capability submissions data for FNG1 for April 26, 2014.
2. Self-report from Powerex Corp. to the MSA dated May 22, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 2, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 17, 2014

Payment Due Date: July 17, 2014

MSA File Number:	2014-189	Specified Penalty Amount:	\$ 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:	203.3	Date of Contravention:	January 22, 2014
Date of Referral/Self Report:	May 29, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On January 22, 2014, for the settlement interval HE20, two energy dispatches for 406 MW were rejected followed by an available capability (AC) restatement at 19:07 having the effect of reducing AC for HE20 from 406 MW to 170 MW. Based upon information available to the MSA, the 19:07 restatement was not made as soon as reasonably practicable. ISO rule 203.3 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 generation and dispatch data for SD5 for January 22, 2014.
2. AESO information request to Capital Power dated April 3, 2014.
3. Capital Power April 14 and May 9, 2014 responses to the AESO information request.
4. AESO letter to Capital Power dated May 29, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	June 17, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 7, 2014

Payment Due Date: August 7, 2014

MSA File Number:	2014-209	Specified Penalty Amount:	\$ 250
Market Participant Name:	NorthPoint Energy Solutions Inc.		
Asset ID (if applicable):	SPBC	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	June 18, 2014
Date of Referral/Self Report:	June 19, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 18, 2014 at 17:41 MDT BCHA curtailed SPBC e-tag Z444225 to 33 MW from 50 MW for HE 19. A restatement of available capability (AC) was submitted for SPBC at 18:26 restating AC for HE 19 from 50 MW to 33 MW. Based upon information available to the MSA, the restatement of AC in this case was not performed as soon as reasonably practicable. ISO rule 203.3 indicates that a pool participant must submit an available capability restatement if there is a change to the AC of the source asset as a result on an acceptable operational reason. ISO rule 203.3 further requires submission of the 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. AESO offer and restatement data for the SPBC source asset for June 18, 2014.
2. Self-report from Northpoint Energy Solutions Inc. to the MSA dated June 19, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 7, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 18, 2014

Payment Due Date: August 18, 2014

MSA File Number:	2014-235	Specified Penalty Amount:	\$ 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:	March 26, 2014
Date of Referral/Self Report:	July 15, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 26, 2014 at approximately 14:39, the AESO system controller issued an ancillary services directive to BOW1 pertaining to 50 MW of spinning reserves (SR) supplied by BOW1. Information available to the MSA indicates that BOW1 failed to maintain an incremental 50 MW of energy for the duration of the period in which the directive remained in effect due to operator error. ISO Rule 6.5.3 states that the system controller will expect from the ancillary service providers that have accepted an ancillary services 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 information request (IR) issued to TransAlta Generation Partnership on June 19, 2014.
2. TransAlta Generation Partnership IR response to the AESO dated July 7, 2014.
3. AESO letter to TransAlta Generation Partnership dated July 15, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 18, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 24, 2014

Payment Due Date: August 25, 2014

MSA File Number:	2014-242	Specified Penalty Amount:	\$ 750
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	June 19, 2014
Date of Referral/Self Report:	July 17, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 19, 2014, at 06:56 MDT Powerex submitted an offer restatement for the FNG1 generating asset having the effect of redistributing offer block volumes for HE 8 to HE 11. Information available to the MSA indicated that an available capability (AC) restatement could reasonably have accommodated the asset's operating state. ISO rule 203.3 directs that a pool participant who submits an offer must submit a MW restatement redistributing the MW to represent the operating state of the asset, as soon as practicable, if the source asset cannot comply with the current offer as a result of i) an acceptable operational reason or ii) an operation 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. Self-report from Powerex Corp. to the MSA dated July 17, 2014.
2. AESO generation, restatement, and dispatch data for FNG1 for June 19, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	July 24, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 1, 2014

Payment Due Date: September 2, 2014

MSA File Number:	2014-262	Specified Penalty Amount:	\$ 250
Market Participant Name:	Alberta Newsprint Company		
Asset ID (if applicable):	ANC1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	July 14, 2014
Date of Referral/Self Report:	July 29, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 14th 2014, at approximately 21:51, the Alberta Newsprint Company (ANC) control room received a directive from the Alberta Electric System Operator (AESO) to shed 55MW of load based upon a dispatch for 55 MW of supplemental reserves load (SUPL). ANC failed to respond to the directive until the directive was cancelled at 22:08. 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. Self-report from Alberta Newsprint Company to the MSA dated July 29, 2014.
2. AESO generation and dispatch data for ANC1 for July 14, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	August 1, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 12, 2014

Payment Due Date: October 13, 2014

MSA File Number:	2014-273	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	March 13, 2014
Date of Referral/Self Report:	August 14, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 12, 2014 the MEG1 generating asset had a declared Available Capability (AC) of 92MW for the settlement period HE 01 on March 13, 2014. At 23:42 on March 12, 2014, MEG1 was dispatched to move from 135MW to 92MW effective at the beginning of the upcoming settlement period (00:00 on March 13, 2014). The 23:42 dispatch timed out without acknowledgement. The 23:42 dispatch was re-issued at 23:45 and was subsequently rejected. During the relevant period, the net generation level of MEG1 was stable at or about 135MW. At 00:37 on March 13, 2014, MEG1 restated AC for HE01 on March 13 to 135MW and at 00:38, received a dispatch to 135MW which was accepted. 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 generation, dispatch, and available capability (AC) data for MEG1 for March 12-13, 2014.
2. AESO information request issued to MEG1 on July 10th, 2014.
3. AESO information request clarifications provided to MEG1 on July 15th and 16th, 2014.
4. MEG1 responses provided to AESO on July 15th, 16th, and 17th 2014.
5. AESO letter to MEG1 dated August 14, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 12, 2014
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 15, 2014

Payment Due Date: October 15, 2014

MSA File Number:	2014-275	Specified Penalty Amount:	\$500
Market Participant Name:	ASTC Power Partnership		
Asset ID (if applicable):	SD3	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	April 4, 2014
Date of Referral/Self Report:	August 15, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 4, 2014 at approximately 11:18, a Minimum Stable Generation (MSG) restatement was submitted for the SD3 generating asset having the effect of reducing MSG from 170 MW to 150 MW for the settlement intervals HE 12-14 (within the T-2 period). Concurrently, a MW restatement was submitted for SD3 having the effect of moving 20 MW from operating block 0 into operating block 1. ISO rule 203.3 states: If the restated minimum stable generation (a) is lower than the previously submitted minimum stable generation; and (b) the restatement is submitted within two (2) hours of the start of the settlement, the pool participant is prohibited from restating the MW of the operating block with the lowest offer price for the source asset.

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 minimum stable generation and offer data for the SD3 asset for HE12 to HE14 on April 4, 2014.
2. AESO information requests issued to SD3 on July 10, 2014.
3. The ASTC response to the AESO dated July 24, 2014.
4. AESO letter to ASTC dated August 15, 2014 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 15, 2014
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 15, 2014

Payment Due Date: October 15, 2014

MSA File Number:	2014-278	Specified Penalty Amount:	\$500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	October 1 to December 30, 2013
Date of Referral/Self Report:	August 18, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

Between October 1 and December 30 2013, the GN1 generating asset submitted offers for various active operating reserve products to the AESO, however, no offer control information was submitted in respect of the applicable offers. ISO rule 201.3 states that a pool participant who has submitted an offer for active or standby operating reserve which the AESO accepts must also submit to the ISO the offer control information for that offer.

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 offer control data for GN1 from October 1 to December 30, 2013.
2. AESO information request issued to GN1 on July 14, 2014.
3. Balancing Pool's response to the AESO Information Request dated July 24, 2014.
4. AESO letter to the Balancing Pool dated August 18, 2014 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 15, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 15, 2014

Payment Due Date: October 15, 2014

MSA File Number:	2014-279	Specified Penalty Amount:	\$500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN2	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	October 1 to December 30, 2013
Date of Referral/Self Report:	August 18, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

Between October 1 and December 30, 2013 the GN2 generating asset submitted offers for various active operating reserve products to the AESO, however, no offer control information was submitted in respect of the applicable offers. ISO rule 201.3 states that a pool participant who has submitted an offer for active or standby operating reserve which the AESO accepts must also submit to the ISO the offer control information for that offer.

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 offer control data for the GN2 asset from October 1 to December 30, 2013.
2. AESO information request issued to GN2 on July 14, 2014.
3. Balancing Pool's response to the AESO Information Request dated July 24, 2014.
4. AESO letter to the Balancing Pool dated August 18, 2014 notifying of the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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

NOTICE

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

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

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

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

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 15, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 16, 2014

Payment Due Date: October 16, 2014

MSA File Number:	2014-282	Specified Penalty Amount:	\$1,500
Market Participant Name:	MEG Energy Corp.		
Asset ID (if applicable):	MEG1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	April 1, 2014
Date of Referral/Self Report:	August 19, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 1, 2014 at or about 13:31, an apparent unit trip caused the MEG1 generating asset to begin ramping down from a prevailing dispatch level of 150 MW. By 13:34, the output of MEG1 leveled off at approximately 57 MW. Just prior to 13:35, an AC restatement was submitted for MEG1 restating AC from 150 MW to 85 MW. Just prior to 13:36, MEG1 accepted a dispatch from 150MW to 85MW for immediate effect. MEG1 maintained a steady net to grid output level of approximately 57MW from 13:35 until 14:16 while dispatched to 85MW. ISO rule section 203.4 states that a pool participant must, if an operational deviation extends for twenty (20) minutes or longer, submit an available capability restatement or MW restatement for the generating source asset that represents the operational capability of the generating source asset and must do so no later than twenty (20) minutes after the commencement of the operational deviation. While a restatement of AC was performed within the 20 minute time frame in this case, the restatement appeared not to represent the operational capability of the source asset between 13:35 and 14:16.

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 the MEG1 asset on April 1, 2014.
2. AESO information request issued to MEG1 on July 17, 2014.
3. MEG Energy Corp. response to the AESO information request dated July 29, 2014.
4. AESO letter to the MEG Energy Corp. dated August 19, 2014 notifying the referral of the matter to the MSA.

DELIVERY OF PAYMENT

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

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 16, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 16, 2014

Payment Due Date: October 16, 2014

MSA File Number:	2014-287	Specified Penalty Amount:	\$750
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	August 7-8, 2014
Date of Referral/Self Report:	August 22, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 7, 2014 at 19:42, the FNG1 generating asset received an advance dispatch instruction to move from the prevailing dispatch level of 55 MW to 42 MW effective at 20:00. In order to ramp unit output to the new dispatch level, FNG1 was required to change its operating mode prompting a reduction in the available capability (AC) of the unit. Following the 19:42 dispatch, however, the declared AC for FNG1 remained unchanged at 59 MW until approximately 11:39 on August 8, 2014. ISO rule 203.3 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. Self-report from Powerex Corp. to the MSA dated August 22, 2014.
2. AESO generation, restatement, and dispatch data for FNG1 for August 7-8, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 16, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 17, 2014

Payment Due Date: October 17, 2014

MSA File Number:	2014-290	Specified Penalty Amount:	\$250
Market Participant Name:	Alberta Newsprint Company		
Asset ID (if applicable):	ANC1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	303.1	Date of Contravention:	July 9, 2014
Date of Referral/Self Report:	August 25, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 9, 2014 from HE 21 through HE23, the average load for ANC1 was approximately 120MW. During the same period, ANC1 offered 107MW of Load Shed Service for Import (LSSi) while dispatched to provide 18MW of supplemental reserves load (SUPL). Accordingly, approximately 5 MW used to provide load shed service were simultaneously committed to the provision of ancillary services during the relevant period. ISO rule 303.1 states that a market participant must not use the MWs it uses to provide load shed service to also simultaneously provide ancillary services under any other section of ISO rules or under any contract.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 303.1

MATERIAL FACTS

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

1. Self-report from Alberta Newsprint Company to the MSA dated August 25, 2014.
2. AESO LSSi and supplemental reserve data for ANC1 for July 9, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 17, 2014
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 16, 2014

Payment Due Date: October 16, 2014

MSA File Number:	2014-306	Specified Penalty Amount:	\$500
Market Participant Name:	Irrigation Canal Power Cooperative Ltd.		
Asset ID (if applicable):	ICP1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	502.4	Date of Contravention:	April 24-27, 2014
Date of Referral/Self Report:	August 26, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

Between April 24 and April 27, 2014, there were three instances in which the AESO System Controller attempted to contact personnel at ICP1 by telephone at the telephone number provided to the AESO as the contact number for the asset, but in each case was unable to do so. ISO rule 502.4 states that a market participant's voice communication system must remain in compliance with the technical specifications and operational requirements which were in effect as of the original date of the commencement of the system's operations. In this case, the relevant specifications are set out in AESO OPP 003.3 indicating that participants who are required to receive energy market dispatches are required to maintain normal telephone service with a direct access number.

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. AESO information request issued to ICP1 on July 16, 2014.
2. ICP1 response to AESO information request provided on July 17 2014.
3. AESO August 26, 2014 letter to ICP1 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 16, 2014
Name:	Doug Doll	Title:	Manager Compliance

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 23, 2014

Payment Due Date: October 23, 2014

MSA File Number:	2014-307	Specified Penalty Amount:	\$ 500
Market Participant Name:	Irrigation Canal Power Co-operative Ltd.		
Asset ID (if applicable):	CHIN	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	June 10, 2014
Date of Referral/Self Report:	September 2, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

From approximately 09:35 to 12:55 on June 10, 2014, the CHIN generating asset had a declared available capability (AC) of 7 MW while the unit was unable to generate due to maintenance. ISO rule 203.3 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 generation and available capability data for CHIN for June 10, 2014.
2. AESO information request issued to Irrigation Canal Power Co-op Ltd. dated August 20, 2014.
3. Irrigation Canal Power Co-op Ltd.'s response to the AESO information request dated August 25, 2014.
4. Referral from the AESO to the MSA dated September 2, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 23, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 23, 2014

Payment Due Date: October 23, 2014

MSA File Number:	2014-313	Specified Penalty Amount:	\$ 500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ME02	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	June 5, 2014
Date of Referral/Self Report:	September 9, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On June 5, 2014 from approximately 10:51 to 13:56, ME02 was generating energy up to its maximum capability (MC) of 8 MW while the unit's stated available capability (AC) was declared to be 0 MW. ISO rule 203.3 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 generation and available capability data for ME02 for June 5, 2014.
2. AESO information request issued to AltaGas Ltd. dated August 19, 2014.
3. AltaGas Ltd.'s response to the AESO information request dated September 2, 2014.
4. Referral from the AESO to the MSA dated September 9, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 23, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 22, 2014

Payment Due Date: October 22, 2014

MSA File Number:	2014-319	Specified Penalty Amount:	\$ 500
Market Participant Name:	AltaGas Ltd.		
Asset ID (if applicable):	ME02	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.6.2	Date of Contravention:	July 3, 2014
Date of Referral/Self Report:	September 11, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On July 3, 2014 from 18:00 to 23:59, the ME02 generating asset was contracted to provide and dispatched for 7 MW of supplemental reserves generation (SUPG) however, the available capability (AC) for ME02 was declared to be 0 MW throughout this period. 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 generation, dispatch, and available capability data for ME02 for July 3, 2014.
2. AESO information request issued to AltaGas Ltd. dated August 21, 2014.
3. AltaGas Ltd.'s response to the AESO information request dated September 5, 2014.
4. Referral from the AESO to the MSA dated September 11, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 22, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 24, 2014

Payment Due Date: October 24, 2014

MSA File Number:	2014-320	Specified Penalty Amount:	\$ 1,500
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:	May 31, 2014
Date of Referral/Self Report:	September 11, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On May 31, 2014, from approximately 02:31 to 04:55, the available capability (AC) of the DKSN generating asset was declared to be 9 MW while the unit was apparently unable to generate due to an unplanned outage. Further, from approximately 11:43 to 15:34 the same day, the AC for DKSN was declared to be 0 MW while the unit was generating at approximately 11 MW. ISO rule 203.3 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 generation and available capability data for DKSN for May 31, 2014.
2. AESO information request issued to Algonquin Power Operating Trust dated August 19, 2014.
3. Algonquin Power Operating Trust's response to the AESO information request dated September 8, 2014.
4. Referral from the AESO to the MSA dated September 11, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier than confirmation of receipt 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 24, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 25, 2014

Payment Due Date: October 27, 2014

MSA File Number:	2014-327	Specified Penalty Amount:	\$ 250
Market Participant Name:	ATCO Power Canada Ltd.		
Asset ID (if applicable):	JOF1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	September 4, 2014
Date of Referral/Self Report:	September 22, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At 08:21 on September 4, 2014, JOF1 received an ancillary services directive to provide 45 MW of spinning reserve (SR) for immediate effect. Due to human error in relation to the entry of control system settings, JOF1 failed to achieve the directed output level within the prescribed 10 minute period following the effective time of 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 generation, dispatch, and directives data for JOF1 on September 4, 2014.
2. Self-report from ATCO Power Canada Ltd. to the MSA dated September 22, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	September 25, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 2, 2014

Payment Due Date: November 3, 2014

MSA File Number:	2014-334	Specified Penalty Amount:	\$ 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:	203.3	Date of Contravention:	June 25, 2014
Date of Referral/Self Report:	September 23, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At approximately 23:43 on June 24, 2014, IOR1 received an advance dispatch to 180 MW effective at the beginning of the following settlement interval (June 25, 2014, HE01). Less than one minute earlier, IOR1 had submitted an available capability (AC) restatement for June 25, 2014 restating AC from 180 MW to 142 MW and accordingly rejected the 23:43 dispatch. Information available to the MSA indicated that an AC restatement was not submitted in a timely manner due to human error and hence a 180 MW standing offer became effective for HE01. ISO rule 203.3 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 dispatch and available capability data for IOR1 for June 25, 2014.
2. AESO information request issued to Imperial Oil Limited dated August 25, 2014.
3. Imperial Oil Limited's response to the AESO information request dated September 8, 2014.
4. Referral from the AESO to the MSA dated September 23, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 2, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 21, 2014

Payment Due Date: November 20, 2014

MSA File Number:	2014-339	Specified Penalty Amount:	\$ 500
Market Participant Name:	TransAlta Corporation		
Asset ID (if applicable):	TAY1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	May 1, 2014 – May 15, 2014
Date of Referral/Self Report:	September 25, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

From May 1, 2014 to May 15, 2014, the available capability (AC) of the TAY1 asset was declared to be 14 MW while the unit was unable to generate as it was on a seasonal outage. ISO rule 203.3 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 available capability data for TAY1 from May 1, 2014 to May 15, 2014.
2. AESO information request issued to TransAlta Corporation dated September 2, 2014.
3. TransAlta Corporation's response to the AESO information request dated September 16, 2014.
4. Referral from the AESO to the MSA dated September 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 21, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 2, 2014

Payment Due Date: November 3, 2014

MSA File Number:	2014-343	Specified Penalty Amount:	\$ 250
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	202.4	Date of Contravention:	September 1, 2014
Date of Referral/Self Report:	September 26, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

From HE 01 to HE 03 on September 1, 2014, the available capability (AC) of the FNG1 generating asset was stated as its maximum capability of 73 MW. During this period, the effective operating mode of FNG1 limited its AC to 42 MW. ISO rule 202.4 indicates that a pool participant must reflect the availability of energy by appropriately adjusting the available capability of the long lead time asset, and ensure that the available capability of the long lead time asset reflect the current physical condition of the asset.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 202.4.

MATERIAL FACTS

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

1. AESO dispatch, available capability, and restatement data for FNG1 for September 1, 2014.
2. Self-report from Powerex Corp. to the MSA dated September 26, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 2, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 30, 2014

Payment Due Date: December 1, 2014

MSA File Number:	2014-361	Specified Penalty Amount:	\$ 250
Market Participant Name:	ENMAX PPA Management Inc.		
Asset ID (if applicable):	BR5	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	September 19, 2014
Date of Referral/Self Report:	October 14, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 19, 2014 at approximately 10:18, the Available Capability (AC) for the BR5 generating unit was revised in a 10:18 submission to the AESO via the Energy Trading System (ETS) to convey a planned maintenance outage (the 10:18 submission). The intended outage interval was from 21:00 on October 23, 2014 to 21:00 on October 25, 2014. Due to human error, the 10:18 submission indicated a unit outage extending from 21:00 on September 23, 2014 to 21:00 on October 25, 2014. Based upon information available to the MSA, an acceptable operational reason did not exist for the 10:18 submission. The AC declarations contained in the 10:18 submission were revised at approximately 10:24 to reflect the intended outage interval. ISO rule 203.3 directs that a pool participant must only submit an available capability restatement revising the available capability of the source asset if such revision is as a result of: i) an acceptable operational reason, ii) an operational deviation, or iii) commissioning or testing under section 505.3 or 505.4 of the ISO Rules.

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 available capability data for BR5 from September 23, 2014 to October 25, 2014.
2. NGX trade data for September 19, 2014 pertaining to October 2014 Alberta Electricity contracts.
3. Self-report from ENMAX PPA Management Inc. to the MSA dated October 14, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 30, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: October 31, 2014

Payment Due Date: December 1, 2014

MSA File Number:	2014-374	Specified Penalty Amount:	\$ 250
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	September 27, 2014
Date of Referral/Self Report:	October 24, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 27, 2014, the GN1 asset was providing station service to the GN3 asset. This decreased the available capability (AC) of GN1 from 400 MW to 390 MW. The resulting change in AC was not restated in ETS and GN1 was subsequently dispatched for 380 MW of energy and 20 MW of spinning reserve for HE 24. At 23:36, GN1 received an ancillary service directive to provide the 20 MW of spinning reserve energy. Given the AC constraint of 390 MW GN1 could only provide 10 MW of spinning reserve as it was subject to a 380 MW energy dispatch. As a result, GN1 could not comply with the 23:36 ancillary service directive. ISO rule 203.3 states 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 circumstances set out in 2(1), 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 ancillary service dispatches and directives, generation, as well as, available capability data for GN1 for September 27, 2014.
2. Self-report from the Balancing Pool to the MSA dated October 24, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 31, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 28, 2014

Payment Due Date: December 30, 2014

MSA File Number:	2014-401	Specified Penalty Amount:	\$ 750
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	202.4	Date of Contravention:	October 16, 2014
Date of Referral/Self Report:	November 14, 2014	This is the second contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

From HE 01 to HE 06 MDT on October 16, 2014, the available capability (AC) of the FNG1 generating asset was stated as its maximum capability of 73 MW. During this period, the effective operating mode of FNG1 limited its AC to 54 MW. ISO rule 202.4 indicates that a pool participant must reflect the availability of energy by appropriately adjusting the available capability of the long lead time asset, and ensure that the available capability of the long lead time asset reflect the current physical condition of the asset.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 202.4.

MATERIAL FACTS

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

1. AESO available capability, energy dispatch, and generation data for FNG1 for October 16, 2014.
2. Self-report from Powerex Corp. to the MSA dated November 14, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 28, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 28, 2014

Payment Due Date: December 30, 2014

MSA File Number:	2014-410	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Cenovus FCCL Ltd.		
Asset ID (if applicable):	EC04	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	August 11, 2014
Date of Referral/Self Report:	November 20, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

At 11:08 on August 11, 2014, EC04 received and accepted a dispatch for 78 MW of energy. The asset did not move in the direction of the dispatch within 10 minutes of accepting the dispatch and was operating below the allowable dispatch variance (ADV) until 12:08. 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, toward the MW level indicated in the dispatch within ten (10) minutes of the time specified in the dispatch but not prior to the dispatch. Further, ISO rule 203.4 indicates that a pool participant must ensure that the generating source asset reaches generating asset steady state by no longer than the period set out in section 4(2)(b).

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 available capability and generation data for EC04 for August 11, 2014.
2. AESO information request issued to Cenovus FCCL Ltd. dated November 4, 2014.
3. Cenovus FCCL Ltd.'s response to the AESO information request dated November 14, 2014.
4. Referral from the AESO to the MSA dated November 20, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 28, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services