

## NOTICE OF SPECIFIED PENALTY

Date of Issue: May 25, 2016

Payment Due Date: June 27, 2016

MSA File Number:	2016-139	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Algonquin Power Operating Trust		
Asset ID (if applicable):	DKSN	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.7	Date of Contravention:	February 10, 2016
Date of Referral/Self Report:	May 5, 2016	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

Between 13:41 and 14:57 on February 10, 2016, DKSN received 15 energy dispatches applicable to the hour ending 15 (HE 15) settlement period; 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 DKSN for February 10, 2016.
2. AESO information request issued to Algonquin Power Operating Trust dated April 18, 2016.
3. Algonquin Power Operating Trust's response to the AESO information request dated May 2, 2016.
4. Referral from the AESO to the MSA dated May 5, 2016.

### DELIVERY OF PAYMENT

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

### NOTICE

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

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

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

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

### SIGNATURE

Signature:	"Original Signed"	Signature Date:	May 25, 2016
Name:	Doug Doll	Title:	Director Corporate Services and Compliance