

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 17, 2016

Payment Due Date: December 19, 2016

MSA File Number:	2016-343	Specified Penalty Amount:	\$ 500
Market Participant Name:	EnerNOC Ltd.		
Asset ID (if applicable):	ENNE	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	June 29 to August 26, 2016
Date of Referral/Self Report:	October 25, 2016	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

From June 29 to August 26, 2016, ENNE submitted operating reserve offers that were accepted by the ISO however, no offer control party was declared in respect of these offers. ISO rule 201.3 indicates that a pool participant must submit offer control information for all offers or bids which the ISO accepts for operating reserve.

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 ancillary services offer control data for ENNE from June 29 to August 26, 2016.
2. AESO information request issued to EnerNOC Ltd. dated September 28, 2016.
3. EnerNOC Ltd.'s response to the AESO information request dated October 21, 2016.
4. Referral from the AESO to the MSA dated October 25, 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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Andrew Davison (Senior Market Analyst) 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 17, 2016
Name:	Doug Doll	Title:	Director Corporate Services and Compliance