

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 11, 2017

Payment Due Date: February 13, 2017

MSA File Number:	2016-439	Specified Penalty Amount:	\$ 1,500
Market Participant Name:	Canadian Natural Resources Ltd.		
Asset ID (if applicable):	CNR5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	August 16, 2016
Date of Referral/Self Report:	December 13, 2016	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 15, 2016 during the HE 24 settlement interval, the CNR5 asset was dispatched to 15 MW and was generating accordingly. The declared available capability (AC) for CNR5 for the following settlement interval (HE 1 on August 16th) was 0 MW. At approximately 23:44 on August 15th, CNR5 received an advanced dispatch to 0 MW for HE 1 on August 16th. At approximately 23:46 on August 15th, the AC of CNR5 for HE 1 on August 16th was restated from 0 MW to 15 MW. ISO rule section 203.3 indicates that if there is a change in AC of the source asset, the pool participant must restate AC 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 data for CNR5 for August 15 and 16, 2016.
2. AESO information request issued to Canadian Natural Resources Ltd. dated October 31, 2016.
3. Canadian Natural Resources Ltd.'s response to the AESO information request dated November 22, 2016.
4. Submission from Canadian Natural Resources Ltd. to the MSA dated November 22, 2016.
5. Referral from the AESO to the MSA dated December 13, 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 Greg Andrews (Investigator) greg.andrews@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:	January 11, 2017
Name:	Doug Doll	Title:	Director Corporate Services and Compliance