

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 20, 2018		Payment Due Date: August 20, 2018	
MSA File Number	2018-144	Specified Penalty Amount	\$500
Registered Entity Name	Powerex Corp.		
Asset ID (if applicable)	FNG1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	306.5	Date of Contravention	November 12 to 30, 2017
Date of Referral/Self Report	May 4, 2018	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

Between November 12 to 30, 2017, the available capability (AC) of FNG1 was derated due to a forced outage. Evidence available to the MSA indicates that Powerex Corp. did not update the AC of FNG1 in the Energy Trading System as soon as reasonably practicable. Section 306.5 of the ISO rules states, in part:

2(3) A pool participant must submit information required to be provided to the ISO pursuant to this section 306.5 via the Energy Trading System.

5 A pool participant must, as soon as reasonably practicable, submit automatic forced outage information as follows:
 (a) through contacting the ISO by telephone, on a telephone number that the ISO designates, which must contain a voice recording system; and
 (b) submit a designation of the automatic forced outage as "Derate-Forced" or "Outage-Forced".

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 306.5.

MATERIAL FACTS

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

1. AESO available capability data for FNG1 for November 12 to 30, 2017.
2. AESO information request issued to Powerex Corp. dated April 25, 2018.
3. Powerex Corp.'s response to the AESO information request dated May 2, 2018.
4. Referral from the AESO to the MSA dated May 4, 2018.

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: 1400, 600 – 3rd Avenue S.W., Calgary, Alberta, T2P 0G5. Questions in respect of delivery of payment should be directed to the 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: Jeremy Smith (Financial Accountant) Jeremy.Smith@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	July 20, 2018
Name	Doug Doll	Title	Director, Corporate Services and Compliance