

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 2, 2018		Payment Due Date: September 4, 2018	
MSA File Number	2018-182	Specified Penalty Amount	\$1,500
Registered Entity Name	Cancarb Ltd.		
Asset ID (if applicable)	CCMH	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	203.3	Date of Contravention	December 29, 2017
Date of Referral/Self Report	May 24, 2018	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On December 29, 2017 between approximately 10:53 and 11:37, MW restatements were submitted for the CCMH generating asset. These MW restatements affected energy offers for the HE 11, HE 12, HE 13 and HE 14 settlement intervals, within two hours of the start of each settlement interval. Subsection 4(2) of section 203.3 of the ISO rules states, in part:

A pool participant that submits an offer must submit a MW restatement redistributing the MW to represent the operating state of the source asset, as soon as reasonably practicable, if the source asset cannot comply with the current offer as a result of:

(a) either

- (i) an acceptable operational reason; or
- (ii) an operational deviation and such restatement is required under subsection 5(3) of section 203.4 of the ISO rules, Delivery Requirements for Energy; and an available capability restatement under subsection 2 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 available capability, energy offer and restatement data for CCMH for December 29, 2017.
2. AESO information request issued to Cancarb Ltd. dated April 30, 2018.
3. Cancarb Ltd.'s response to the AESO information request dated May 8, 2018.
4. Referral from the AESO to the MSA dated May 24, 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	August 2, 2018
Name	Doug Doll	Title	Director, Corporate Services and Compliance