

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 18, 2019		Payment Due Date: January 27, 2020	
MSA File Number	2019-486	Specified Penalty Amount	\$500
Registered Entity Name	BowArk Energy Ltd.		
Asset ID (if applicable)	DRW1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	205.3	Date of Contravention	April 28, 2019
Date of Referral/Self Report	November 5, 2019	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

Beginning at approximately 01:53 on April 28, 2019, an operational issue affecting the DRW1 asset occurred, requiring restatements of available capability and supplemental reserve to 0 MW. For the settlement intervals HE 10 and HE 11, however, the offers for supplemental reserve were not restated as soon as reasonably practicable. Section 205.3 of the ISO Rules states in part:

(4) A pool participant that submits an offer must, as soon as reasonably practicable, submit a restatement to represent the operating state of the pool asset if:

(a) the pool asset is no longer able to deliver the MW set out in the offer; ...

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 205.3.

MATERIAL FACTS

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

1. AESO available capability, dispatch, and ancillary services offer data for DRW1 for April 28, 2019.
2. AESO information request issued to BowArk Energy Ltd., dated August 22, 2019.
3. BowArk Energy Ltd.'s response to the AESO information request, dated September 16, 2019.
4. Referral from the AESO to the MSA dated November 5, 2019.

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	December 18, 2019
Name	Andrew Wilkins	Title	Director, Compliance