

## NOTICE OF SPECIFIED PENALTY

Date of Issue: April 16, 2012

Payment Due Date: May 17, 2012

MSA File Number:	2012-048	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Cancarb Ltd.		
Asset ID (if applicable):	CCMH	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	3.5.3	Date of Contravention:	October 2, 2011
Date of Referral/Self Report:	March 14, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On October 2, 2011 at approximately 03:41 the CCMH asset, due to operational problems, tripped off-line and could no longer meet its energy dispatch of 18 MW. At 05:11 the available capability of the CCMH asset was restated to 0 MW. Section 3.5.3.2 (a) of ISO rule 3.5.3 states that "A pool participant who has submitted an offer must submit an energy restatement restating the available capability of the source asset for the applicable hours in the trading day, as soon as reasonably practicable, if there is a change to the available capability."

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

### MATERIAL FACTS

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

1. AESO available capability, generation and dispatch data for the CCMH asset for October 2, 2011.
2. AESO Information Request to Cancarb Ltd. dated January 30, 2012.
3. Cancarb Ltd.. February 2, 2012 response to the AESO information request.
4. AESO's email to Cancarb Ltd. dated March 7, 2012 and Cancarb Ltd's March 8, 2012 response.
5. AESO letter to Cancarb Ltd. dated March 14, 2012 notifying the referral of the matter to the MSA.
6. Cancarb Ltd.'s email to the MSA dated March 20, 2012 providing further clarification to the contravention.

### 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](mailto:compliance@albertamsa.ca), with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) [sabi.ghavami@auc.ab.ca](mailto:sabi.ghavami@auc.ab.ca), and Darin Lowther (Director, Market Rules) [darin.lowther@auc.ab.ca](mailto:darin.lowther@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 30 days 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](mailto:compliance@albertamsa.ca).

### SIGNATURE

Signature:	"Original Signed"	Signature Date:	April 16, 2012
Name:	Doug Doll	Title:	Manager Compliance