

## NOTICE OF SPECIFIED PENALTY

Date of Issue: December 14, 2012

Payment Due Date: January 11, 2013

MSA File Number:	2012-389	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	6.5.3	Date of Contravention:	August 19, 2012
Date of Referral/Self Report:	November 13, 2012	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On August 19, 2012 at 01:06, the GN1 asset was directed to provide 17 MW of spinning reserves (SR) while generating at a level of 413 MW. At 01:16, or ten minutes following issuance of the directive, GN1 was generating at a level of 422 MW or 8 MW below the 17 MW of directed incremental volume. ISO rule 6.5.3 a) states that in respect of spinning reserve (SR), the amount of MW stated in the ancillary service dispatch will be provided within 10 minutes of an ancillary service directive unless there is immediate risk to personnel or equipment safety.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 6.5.3.

### MATERIAL FACTS

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

1. AESO dispatch and generation data for the GN1 asset on August 19, 2012.
2. AESO letter to the Balancing Pool dated November 27, 2012 notifying of the referral of the matter to the MSA.

### 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:	December 14, 2012
Name:	Doug Doll	Title:	Manager Compliance