

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 20, 2013

Payment Due Date: December 20, 2013

MSA File Number:	2013-392	Specified Penalty Amount:	\$ 250
Market Participant Name:	Daishowa-Marubeni International Ltd.		
Asset ID (if applicable):	DAI1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	October 15, 2013
Date of Referral/Self Report:	November 6, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On October 15, 2013 for HE 01 through HE 12, and for 12:00 – 12:46 in respect of HE 13, the declared available capability (AC) for the DAI1 generating asset was 52 MW which reflected a standing offer submitted to the AESO for DAI1. Based on information available to the MSA, the standing offer did not accurately reflect the available capability of DAI1 for the noted settlement intervals. AC for all subsequent settlement intervals in the day was restated at 12:46 from 52 MW to 19 MW. The failure of the participant to submit a revised AC declaration for DAI1 prior to HE 01 was attributed to human error. ISO Rule 203.1 indicates that a pool participant that submits an offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

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 offer and restatement data for the DAI1 source asset for October 15, 2013.
2. Self-report from Daishowa-Marubeni International Ltd. to the MSA dated November 6, 2013.

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, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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.

SIGNATURE

Signature:	"Original Signed"	Signature Date:	November 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services