

## NOTICE OF SPECIFIED PENALTY

Date of Issue: May 21, 2013

Payment Due Date: June 21, 2013

MSA File Number:	RS2012-039	<b>Specified Penalty Amount:</b>	\$ 5,000
Registered Entity Name:	Daishowa-Marubeni International Ltd.		
Reliability Standard :	CIP-001-AB-1	Self Report:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Requirement:	R3	Accepted Mitigation Plan:	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral/Self Report:	October 21, 2012	Date of Contravention:	November 17, 2011 – June 30, 2012

### EVENT DETAILS

Daishowa-Marubeni International Ltd. (DMI) initially provided its operating personnel with sabotage event response procedures in November 2010; however, AESO reliability audit findings determined there was no evidence that sabotage event procedures were subsequently provided to operating personnel between November 2010 and the end of the reliability compliance audit period (June 30, 2012). Requirement 3 (R3) of the standard states that each responsible entity must annually provide its operating personnel with sabotage event response procedures, including personnel to contact, for reporting sabotage events.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of Reliability Standard CIP-001-AB-1, requirement 3.

### MATERIAL FACTS

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

1. DMI self-report with mitigation plan submitted to the MSA on October 21, 2012.
2. AESO Compliance Monitoring Audit Report (audit period: April 12, 2010 – June 30, 2012) dated May 8, 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](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 a reliability standard. Specified penalties are set out in AUC Rule 027.

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 027 this Notice of Specified Penalty will be made public no earlier than 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:	May 21, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services