

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 15, 2014

Payment Due Date: October 15, 2014

MSA File Number:	2014-275	Specified Penalty Amount:	\$500
Market Participant Name:	ASTC Power Partnership		
Asset ID (if applicable):	SD3	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	April 4, 2014
Date of Referral/Self Report:	August 15, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On April 4, 2014 at approximately 11:18, a Minimum Stable Generation (MSG) restatement was submitted for the SD3 generating asset having the effect of reducing MSG from 170 MW to 150 MW for the settlement intervals HE 12-14 (within the T-2 period). Concurrently, a MW restatement was submitted for SD3 having the effect of moving 20 MW from operating block 0 into operating block 1. ISO rule 203.3 states: If the restated minimum stable generation (a) is lower than the previously submitted minimum stable generation; and (b) the restatement is submitted within two (2) hours of the start of the settlement, the pool participant is prohibited from restating the MW of the operating block with the lowest offer price for the source asset.

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 minimum stable generation and offer data for the SD3 asset for HE12 to HE14 on April 4, 2014.
2. AESO information requests issued to SD3 on July 10, 2014.
3. The ASTC response to the AESO dated July 24, 2014.
4. AESO letter to ASTC dated August 15, 2014 notifying 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, 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 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:	September 15, 2014
Name:	Doug Doll	Title:	Manager Compliance