

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 31, 2014

Payment Due Date: December 1, 2014

MSA File Number:	2014-374	<b>Specified Penalty Amount:</b>	\$ 250
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.3	Date of Contravention:	September 27, 2014
Date of Referral/Self Report:	October 24, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On September 27, 2014, the GN1 asset was providing station service to the GN3 asset. This decreased the available capability (AC) of GN1 from 400 MW to 390 MW. The resulting change in AC was not restated in ETS and GN1 was subsequently dispatched for 380 MW of energy and 20 MW of spinning reserve for HE 24. At 23:36, GN1 received an ancillary service directive to provide the 20 MW of spinning reserve energy. Given the AC constraint of 390 MW GN1 could only provide 10 MW of spinning reserve as it was subject to a 380 MW energy dispatch. As a result, GN1 could not comply with the 23:36 ancillary service directive. ISO rule 203.3 states 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 circumstances set out in 2(1), 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 ancillary service dispatches and directives, generation, as well as, available capability data for GN1 for September 27, 2014.
2. Self-report from the Balancing Pool to the MSA dated October 24, 2014.

### 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 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](mailto:compliance@albertamsa.ca).

### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 31, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services