

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 13, 2015

Payment Due Date: December 14, 2015

MSA File Number:	2015-342	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Canadian Natural Resources Ltd.		
Asset ID (if applicable):	CNR5	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.1	Date of Contravention:	June 3, 2015
Date of Referral/Self Report:	October 14, 2015	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On June 3, 2015 from 00:00 to 01:26, the available capability (AC) of the CNR5 asset was declared to be 0 MW while the asset was generating approximately 32 MW throughout the time interval. ISO Rule 203.1 indicates that a pool participant that submits an offer must also submit the available capability, in MW, for each source asset which such available capability must equal the maximum capability of the source asset unless the pool participant has submitted an acceptable operational reason with the offer.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.1.

### MATERIAL FACTS

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

1. AESO generation, dispatch, and available capability data for CNR5 for June 3, 2015.
2. AESO information request issued to Canadian Natural Resources Ltd. dated August 31, 2015.
3. Canadian Natural Resources Ltd.'s response to the AESO information request dated September 15, 2015.
4. Referral from the AESO to the MSA dated October 14, 2015.

### 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 Andrew Davison (Senior Market Analyst) [andrew.davison@auc.ab.ca](mailto:andrew.davison@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:	November 13, 2015
Name:	Doug Doll	Title:	Director Corporate Services and Compliance