

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 9, 2017		Payment Due Date: June 9, 2017	
MSA File Number	2017-189	Specified Penalty Amount	\$500
Registered Entity Name	Balancing Pool		
Asset ID (if applicable)	BR5	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	201.3	Date of Contravention	July 18, 2016 to February 14, 2017
Date of Referral/Self Report	March 23, 2017	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

From July 18, 2016 to February 14, 2017, operating reserve offers for generating asset BR5 were accepted by the ISO; however, the corresponding offer control information submitted was incorrect. ISO rule 201.3 indicates that a pool participant must submit offer control information for all offers or bids which the ISO accepts for operating reserve.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 201.3.

MATERIAL FACTS

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

1. AESO ancillary services offer control data for BR5 from July 18, 2016 to February 14, 2017.
2. Submission from Balancing Pool to the MSA dated March 23, 2017.

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: Jeremy Smith (Financial Accountant) jeremy.smith@auc.ab.ca, and Greg Andrews (Investigator) greg.andrews@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	May 9, 2017
Name	Doug Doll	Title	Director, Compliance and Corporate Services