

## NOTICE OF SPECIFIED PENALTY

Date of Issue: September 15, 2014

Payment Due Date: October 15, 2014

MSA File Number:	2014-278	<b>Specified Penalty Amount:</b>	\$500
Market Participant Name:	Balancing Pool		
Asset ID (if applicable):	GN1	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	October 1 to December 30, 2013
Date of Referral/Self Report:	August 18, 2014	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

Between October 1 and December 30 2013, the GN1 generating asset submitted offers for various active operating reserve products to the AESO, however, no offer control information was submitted in respect of the applicable offers. ISO rule 201.3 states that a pool participant who has submitted an offer for active or standby operating reserve which the AESO accepts must also submit to the ISO the offer control information for that offer.

### 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 offer control data for GN1 from October 1 to December 30, 2013.
2. AESO information request issued to GN1 on July 14, 2014.
3. Balancing Pool's response to the AESO Information Request dated July 24, 2014.
4. AESO letter to the Balancing Pool dated August 18, 2014 notifying 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](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:	September 15, 2014
Name:	Doug Doll	Title:	Manager Compliance and Corporate Services