

NOTICE OF SPECIFIED PENALTY

Date of Issue: January 6, 2017

Payment Due Date: February 6, 2017

MSA File Number:	2016-420	Specified Penalty Amount:	\$ 500
Market Participant Name:	Algonquin Power Operating Trust		
Asset ID (if applicable):	DKSN	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	203.1	Date of Contravention:	September 29, 2016
Date of Referral/Self Report:	December 5, 2016	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On September 29, 2016 between approximately 19:25 and 19:43, the declared available capability (AC) and energy dispatch level of generating unit DKSN was 0 MW, while this asset generated up to approximately 15 MW during this period. 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 DKSN for September 29, 2016.
2. AESO information request issued to Algonquin Power Operating Trust dated November 10, 2016.
3. Algonquin Power Operating Trust's response to the AESO information request dated November 24, 2016.
4. Referral from the AESO to the MSA dated December 5, 2016.

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 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:	January 6, 2017
Name:	Doug Doll	Title:	Director Corporate Services and Compliance