

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 30, 2017		Payment Due Date: October 2, 2017	
MSA File Number	2017-313	Specified Penalty Amount	\$500
Registered Entity Name	NAT-1 Limited Partnership		
Asset ID (if applicable)	NAT1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	205.6	Date of Contravention	March 31, 2017
Date of Referral/Self Report	August 3, 2017	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On March 31, 2017 during the HE 13 settlement period, the NAT1 generating asset was dispatched for 15 MW of supplemental reserve. At approximately 12:13 on March 31, 2017, NAT1 received an ancillary services directive to provide 15 MW of reserve energy. NAT1 did not provide a quantity of real power equal to the instantaneous amount of real power of the pool asset at the time of the directive plus the amount of real power set out in the directive within ten minutes after receiving the directive. Subsection 7(1) of section 205.6 of the ISO rules states:

A pool participant must, within ten (10) minutes after receiving a directive to provide supplemental reserve, ensure that the pool asset is providing a quantity of real power equal to the instantaneous amount of real power of the pool asset at the time of the directive plus the amount of real power set out in the directive, as measured in accordance with subsection 3(3).

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 205.6.

MATERIAL FACTS

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

1. AESO generation and directive data for NAT1 for March 31, 2017.
2. AESO information request issued to NAT-1 Limited Partnership dated July 5, 2017.
3. URICA Energy Real Time Ltd.'s response to the AESO information request submitted on behalf of NAT-1 Limited Partnership dated July 13, 2017.
4. Further communication sent from the AESO to NAT-1 Limited Partnership and URICA Energy Real Time Ltd. dated July 18, 2017.
5. URICA Energy Real Time Ltd.'s two responses to the AESO submitted on behalf of NAT-1 Limited Partnership dated July 18, 2017.
6. Further communication sent from the AESO to NAT-1 Limited Partnership and URICA Energy Real Time Ltd. dated July 25, 2017.
7. URICA Energy Real Time Ltd.'s response to the AESO submitted on behalf of NAT-1 Limited Partnership dated July 25, 2017.
8. URICA Energy Real Time Ltd.'s response to the AESO submitted on behalf of NAT-1 Limited Partnership dated July 27, 2017.
9. Referral from the AESO to the MSA dated August 3, 2017.
10. NAT-1 Limited Partnership's additional information provided to the MSA dated August 22, 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	August 30, 2017
Name	Doug Doll	Title	Director, Corporate Services and Compliance