

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-179

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: April 23, 2009

Date of Referral/Self Report: N/A

This is the 179 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On April 23, 2009 an offer restatement was submitted for SPBC asset at 23:44 which increased the available capability (AC) for the asset within the T-2 window for April 24, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for April 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-178

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: April 23, 2009

Date of Referral/Self Report: N/A

This is the 178 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On April 23, 2009 an offer restatement was submitted for SPBC asset at 04:53 which increased the available capability (AC) for the asset within the T-2 window for April 23, 2009 for HE 7. This restatement had the effect of increasing the AC value from 18 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for April 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-177

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: April 3, 2009

Date of Referral/Self Report: N/A

This is the 177 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On April 3, 2009 an offer restatement was submitted for SPBC asset at 05:27 which increased the available capability (AC) for the asset within the T-2 window for April 3, 2009 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for April 3, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-176

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: April 1, 2009

Date of Referral/Self Report: N/A

This is the 176 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On April 1, 2009 an offer restatement was submitted for SPBC asset at 10:58 which increased the available capability (AC) for the asset within the T-2 window for April 1, 2009 for HE 13. This restatement had the effect of increasing the AC value from 50 to 56 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for April 1, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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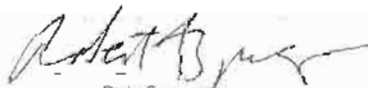
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-175

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: March 28, 2009

Date of Referral/Self Report: N/A

This is the 175 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On March 28, 2009 an offer restatement was submitted for SPBC asset at 05:50 which increased the available capability (AC) for the asset within the T-2 window for March 28, 2009 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for March 28, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spagnis

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-174

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: March 8, 2009

Date of Referral/Self Report: N/A

This is the 174 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On March 8, 2009 an offer restatement was submitted for SPBC asset at 13:03 which increased the available capability (AC) for the asset within the T-2 window for March 8, 2009 for HE 15-16. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-173

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: March 6, 2009

Date of Referral/Self Report: N/A

This is the 173 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On March 6, 2009 an offer restatement was submitted for SPBC asset at 05:51 which increased the available capability (AC) for the asset within the T-2 window for March 6, 2009 for HE 8. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-172

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: March 5, 2009

Date of Referral/Self Report: N/A

This is the 172 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On March 5, 2009 an offer restatement was submitted for SPBC asset at 23:55 which increased the available capability (AC) for the asset within the T-2 window for March 6, 2009 for HE 2. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for March 5, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Robi Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-171

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: March 5, 2009

Date of Referral/Self Report: N/A

This is the 171 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On March 5, 2009 an offer restatement was submitted for SPBC asset at 14:27 which increased the available capability (AC) for the asset within the T-2 window for March 5, 2009 for HE 16-17. This restatement had the effect of increasing the AC value from 25 to 33 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for March 5, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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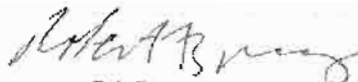
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-170

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 27, 2009

Date of Referral/Self Report: N/A

This is the 170 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 27, 2009 an offer restatement was submitted for SPBC asset at 16:17 which increased the available capability (AC) for the asset within the T-2 window for February 27, 2009 for HE 19. This restatement had the effect of increasing the AC value from 0 to 100 MW. At 17:43, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 100 MW to 63 MW for HE 19. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 27, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-169

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SP8C

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 27, 2009

Date of Referral/Self Report: N/A

This is the 169 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 27, 2009 an offer restatement was submitted for SP8C asset at 10:20 which increased the available capability (AC) for the asset within the T-2 window for February 27, 2009 for HE 12-13. This restatement had the effect of increasing the AC value from 0 to 75 for HE 12 and 0 to 88 MW for HE 13. At 12:29, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 88 MW to 75 MW for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SP8C asset for February 27, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spradins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-168

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 26, 2009

Date of Referral/Self Report: N/A

This is the 168 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 26, 2009 an offer restatement was submitted for SPBC asset at 13:53 which increased the available capability (AC) for the asset within the T-2 window for February 26, 2009 for HE 14-16. This restatement had the effect of increasing the AC value from 0 to 25. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 26, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-167

Specified Penalty
Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 25, 2009

Date of Referral/Self Report: N/A

This is the 167 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 25, 2009 an offer restatement was submitted for SPBC asset at 21:16 which increased the available capability (AC) for the asset within the T-2 window for February 25, 2009 for HE 23-24. This restatement had the effect of increasing the AC value from 75 to 80 for HE 23 and 0 to 5 MW for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 25, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spradins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-166

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

February 23, 2009

Date of Referral/Self Report: N/A

This is the 166 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 23, 2009 an offer restatement was submitted for SPBC asset at 23:13 which increased the available capability (AC) for the asset within the T-2 window for February 24, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-165

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 23, 2009

Date of Referral/Self Report: N/A

This is the 165 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 23, 2009 an offer restatement was submitted for SPBC asset at 10:32 which increased the available capability (AC) for the asset within the T-2 window for February 23, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 11 MW. At 10:55, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 11 MW to 61 MW. This was followed by a third restatement at 11:53 that had the effect of decreasing the AC value from 61 to 48. All restatements were for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-164

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 23, 2009

Date of Referral/Self Report: N/A

This is the 164 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 23, 2009 an offer restatement was submitted for SPBC asset at 08:19 which increased the available capability (AC) for the asset within the T-2 window for February 23, 2009 for HE 10-11. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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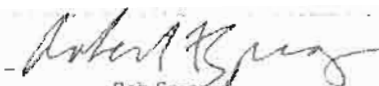
In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spradlin

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-163

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 23, 2009

Date of Referral/Self Report: N/A

This is the 163 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 23, 2009 an offer restatement was submitted for SPBC asset at 07:21 which increased the available capability (AC) for the asset within the T-2 window for February 23, 2009 for HE 9. This restatement had the effect of increasing the AC value from 0 to 12 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-162

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 15, 2009

Date of Referral/Self Report: N/A

This is the 162 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 15, 2009 an offer restatement was submitted for SPBC asset at 01:23 which increased the available capability (AC) for the asset within the T-2 window for February 15, 2009 for HE 3-4. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 15, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-161

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

February 12, 2009

Date of Referral/Self Report: N/A

This is the 161 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 12, 2009 an offer restatement was submitted for SPBC asset at 08:17 which increased the available capability (AC) for the asset within the T-2 window for February 12, 2009 for HE 10. This restatement had the effect of increasing the AC value from 86 to 87 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 12, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-160

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SP8C

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 12, 2009

Date of Referral/Self Report: N/A

This is the 160 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 12, 2009 an offer restatement was submitted for SP8C asset at 02:44 which increased the available capability (AC) for the asset within the T-2 window for February 12, 2009 for HE 5. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SP8C asset for February 12, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-159

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 10, 2009

Date of Referral/Self Report: N/A

This is the 159 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 10, 2009 an offer restatement was submitted for SPBC asset at 16:26 which increased the available capability (AC) for the asset within the T-2 window for February 10, 2009 for HE 18. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 10, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-158

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 7, 2009

Date of Referral/Self Report: N/A

This is the 158 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 7, 2009 an offer restatement was submitted for SPBC asset at 18:50 which increased the available capability (AC) for the asset within the T-2 window for February 7, 2009 for HE 21. This restatement had the effect of increasing the AC value from 25 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 7, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-157

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 6, 2009

Date of Referral/Self Report: N/A

This is the 157 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 6, 2009 an offer restatement was submitted for SPBC asset at 22:41 which increased the available capability (AC) for the asset within the T-2 window for February 7, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 6, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-156

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 6, 2009

Date of Referral/Self Report: N/A

This is the 156 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 6, 2009 an offer restatement was submitted for SPBC asset at 19:22 which increased the available capability (AC) for the asset within the T-2 window for February 6, 2009 for HE 22. This restatement had the effect of increasing the AC value from 75 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 6, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-155

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 4, 2009

Date of Referral/Self Report: N/A

This is the 155 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 4, 2009 an offer restatement was submitted for SPBC asset at 19:52 which increased the available capability (AC) for the asset within the T-2 window for February 4, 2009 for HE 21. This restatement had the effect of increasing the AC value from 0 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 4, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days and no later than 15 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-154

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 4, 2009

Date of Referral/Self Report: N/A

This is the 154 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 4, 2009 an offer restatement was submitted for SPBC asset at 18:42 which increased the available capability (AC) for the asset within the T-2 window for February 4, 2009 for HE 20. This restatement had the effect of increasing the AC value from 50 to 57 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 4, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-153

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 4, 2009

Date of Referral/Self Report: N/A

This is the 153 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 4, 2009 an offer restatement was submitted for SPBC asset at 09:17 which increased the available capability (AC) for the asset within the T-2 window for February 4, 2009 for HE 12. This restatement had the effect of increasing the AC value from 53 to 56 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 4, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager, Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-152

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 4, 2009

Date of Referral/Self Report: N/A

This is the 152 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 4, 2009 an offer restatement was submitted for SPBC asset at 08:57 which decreased the available capability (AC) for the asset within the T-2 window for February 4, 2009 for HE 11. This restatement had the effect of decreasing the AC value from 54 to 52 MW. At 09:15, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 52 MW to 55 MW for HE 11. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 4, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-151

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 3, 2009

Date of Referral/Self Report: N/A

This is the 15th contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 3, 2009 an offer restatement was submitted for SPBC asset at 17:22 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 20. This restatement had the effect of increasing the AC value from 0 to 6 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 3, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-150

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 3, 2009

Date of Referral/Self Report: N/A

This is the 150 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 3, 2009 an offer restatement was submitted for SPBC asset at 10:15 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 13. This restatement had the effect of increasing the AC value from 11 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 3, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-149

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 3, 2009

Date of Referral/Self Report: N/A

This is the 149 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 3, 2009 an offer restatement was submitted for SPBC asset at 09:14 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 12. This restatement had the effect of increasing the AC value from 86 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 3, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 15, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-148

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 3, 2009

Date of Referral/Self Report: N/A

This is the 148 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 3, 2009 an offer restatement was submitted for SPBC asset at 08:46 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 11. This restatement had the effect of increasing the AC value from 86 to 87 MW. At 09:14, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 87 MW to 88 MW for HE 11. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 3, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-147

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 2, 2009

Date of Referral/Self Report: N/A

This is the 147 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 2, 2009 an offer restatement was submitted for SPBC asset at 11:07 which increased the available capability (AC) for the asset within the T-2 window for February 2, 2009 for HE 13. This restatement had the effect of increasing the AC value from 64 to 89 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 2, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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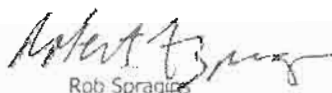
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Sprague

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-146

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: February 1, 2009

Date of Referral/Self Report: N/A

This is the 146 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On February 1, 2009 an offer restatement was submitted for SPBC asset at 10:27 which increased the available capability (AC) for the asset within the T-2 window for February 1, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 14 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for February 1, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-145

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

January 27, 2009

Date of Referral/Self Report: N/A

This is the 145 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 27, 2009 an offer restatement was submitted for SPBC asset at 22:53 which increased the available capability (AC) for the asset within the T-2 window for January 28, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 27, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-144 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 25, 2009 |
| Date of Referral/Self Report: | N/A | This is the 144 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPBC asset at 22:20 which increased the available capability (AC) for the asset within the T-2 window for January 26, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 25, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-143

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 25, 2009

Date of Referral/Self Report: N/A

This is the 143 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPBC asset at 07:15 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 9-10. This restatement had the effect of increasing the AC value from 50 to 100 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 25, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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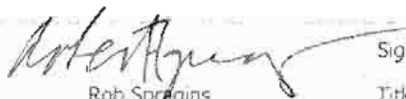
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-142

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 25, 2009

Date of Referral/Self Report: N/A

This is the 142 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPBC asset at 01:11 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 3. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 25, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-141

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 25, 2009

Date of Referral/Self Report: N/A

This is the 141 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPBC asset at 00:30 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 2. This restatement had the effect of increasing the AC value from 0 to 14 MW. At 00:32, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 14 MW to 12 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 25, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-140

Specified Penalty
Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 24, 2009

Date of Referral/Self Report: N/A

This is the 140 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 24, 2009 an offer restatement was submitted for SPBC asset at 23:27 which increased the available capability (AC) for the asset within the T-2 window for January 25, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 24, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-139

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 20, 2009

Date of Referral/Self Report: N/A

This is the 139 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPBC asset at 19:45 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 21. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 20, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-138

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 20, 2009

Date of Referral/Self Report: N/A

This is the 138 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPBC asset at 18:45 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 20. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 20, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spraglis

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-137

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 20, 2009

Date of Referral/Self Report: N/A

This is the 137 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPBC asset at 17:45 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 19. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 20, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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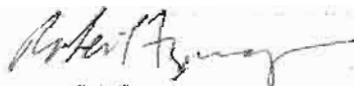
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-136

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 20, 2009

Date of Referral/Self Report: N/A

This is the 136 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPBC asset at 07:27 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 10. This restatement had the effect of increasing the AC value from 62 to 87 MW. This restatement was followed by two more restatements at 08:48 and 08:55 that had the effect of decreasing AC value from 87 to 86 MW and from 86 to 63 MW, respectively. All restatements were for HE 10. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-135

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 20, 2009

Date of Referral/Self Report: N/A

This is the 135 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPBC asset at 05:32 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 8. This restatement had the effect of increasing the AC value from 50 to 66 MW. At 05:38, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 66 MW to 91 MW. This restatement was followed by two more restatements at 06:15 and 07:27 that had the effect of decreasing AC value from 91 to 75 MW and from 75 to 70 MW, respectively. All restatements were for HE 8. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-134

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 19, 2009

Date of Referral/Self Report: N/A

This is the 134 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPBC asset at 23:13 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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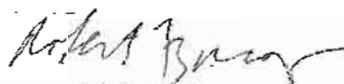
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Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager, Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-133

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 19, 2009

Date of Referral/Self Report: N/A

This is the 133 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPBC asset at 22:13 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 24. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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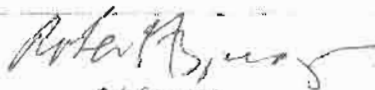
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Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-132

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 19, 2009

Date of Referral/Self Report: N/A

This is the 132 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPBC asset at 11:15 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 13. This restatement had the effect of increasing the AC value from 50 to 63 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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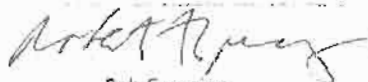
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NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-131

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 19, 2009

Date of Referral/Self Report: N/A

This is the 131 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPBC asset at 09:16 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 11. This restatement had the effect of increasing the AC value from 50 to 63 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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MATERIAL FACTS

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Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-130

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 18, 2009

Date of Referral/Self Report: N/A

This is the 130 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 18, 2009 an offer restatement was submitted for SPBC asset at 18:31 which increased the available capability (AC) for the asset within the T-2 window for January 18, 2009 for HE 20-21. This restatement had the effect of increasing the AC value from 50 to 57 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 18, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavam (Director, Finance) sabi.ghavam@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-129

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 12, 2009

Date of Referral/Self Report: N/A

This is the 129 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 12, 2009 an offer restatement was submitted for SPBC asset at 19:01 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 22. This restatement had the effect of increasing the AC value from 75 to 77 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 12, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-128

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 12, 2009

Date of Referral/Self Report: N/A

This is the 128 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 12, 2009 an offer restatement was submitted for SPBC asset at 05:26 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 7. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 12, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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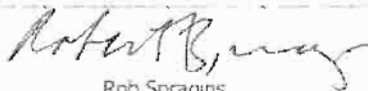
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-127

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 7, 2009

Date of Referral/Self Report: N/A

This is the 127 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 7, 2009 an offer restatement was submitted for SPBC asset at 08:27 which increased the available capability (AC) for the asset within the T-2 window for January 7, 2009 for HE 10-11. This restatement had the effect of increasing the AC value from 50 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 7, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-126

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 3, 2009

Date of Referral/Self Report: N/A

This is the 126 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 3, 2009 an offer restatement was submitted for SPBC asset at 05:44 which increased the available capability (AC) for the asset within the T-2 window for January 3, 2009 for HE 8. This restatement had the effect of increasing the AC value from 25 to 105 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 3 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-125 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 2, 2009 |
| Date of Referral/Self Report: | N/A | This is the 125 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 2, 2009 an offer restatement was submitted for SPBC asset at 13:18 which increased the available capability (AC) for the asset within the T-2 window for January 2, 2009 for HE 14-16. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 2 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-124

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: January 2, 2009

Date of Referral/Self Report: N/A

This is the 124 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On January 2, 2009 an offer restatement was submitted for SPBC asset at 07:48 which increased the available capability (AC) for the asset within the T-2 window for January 2, 2009 for HE 8-9. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for January 2, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-123 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 30, 2008 |
| Date of Referral/Self Report: | N/A | This is the 123 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 30, 2008 an offer restatement was submitted for SPBC asset at 17:05 which increased the available capability (AC) for the asset within the T-2 window for December 30, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 30, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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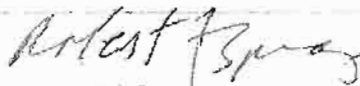
In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-122 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 29, 2008 |
| Date of Referral/Self Report: | N/A | This is the 122 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 29, 2008 an offer restatement was submitted for SPBC asset at 16:03 which increased the available capability (AC) for the asset within the T-2 window for December 29, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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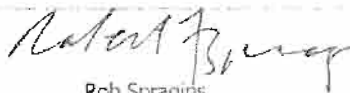
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-121

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 23, 2008

Date of Referral/Self Report: N/A

This is the 121 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 23, 2008 an offer restatement was submitted for SPBC asset at 00:23 which increased the available capability (AC) for the asset within the T-2 window for December 23, 2008 for HE 2-3. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 23, 2008.
2. AESO information request, response, and referral as applicable.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-120

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 22, 2008

Date of Referral/Self Report: N/A

This is the 120 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 22, 2008 an offer restatement was submitted for SPBC asset at 17:16 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-119

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 22, 2008

Date of Referral/Self Report: N/A

This is the 119 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 22, 2008 an offer restatement was submitted for SPBC asset at 02:05 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 3-5. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-118

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 21, 2008

Date of Referral/Self Report: N/A

This is the 118 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 21, 2008 an offer restatement was submitted for SPBC asset at 23:55 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-117

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 21, 2008

Date of Referral/Self Report: N/A

This is the 117 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 21, 2008 an offer restatement was submitted for SPBC asset at 23:13 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 21, 2008.
2. AESO information request, response, and referral as applicable.
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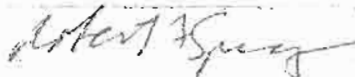
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-116

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 21, 2008

Date of Referral/Self Report: N/A

This is the 116 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 21, 2008 an offer restatement was submitted for SPBC asset at 22:15 which increased the available capability (AC) for the asset within the T-2 window for December 21, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier than 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-115 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 115 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPBC asset at 10:15 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-114

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

December 19, 2008

Date of Referral/Self Report: N/A

This is the 114 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 19, 2008 an offer restatement was submitted for SPBC asset at 07:02 which increased the available capability (AC) for the asset within the T-2 window for December 19, 2008 for HE 9. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 19, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-113

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 18, 2008

Date of Referral/Self Report: N/A

This is the 113 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 18, 2008 an offer restatement was submitted for SPBC asset at 21:34 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 23. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 18, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-112

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 18, 2008

Date of Referral/Self Report: N/A

This is the 112 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 18, 2008 an offer restatement was submitted for SPBC asset at 19:28 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 21-22. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 18, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-111

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 18, 2008

Date of Referral/Self Report: N/A

This is the 111 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 18, 2008 an offer restatement was submitted for SPBC asset at 05:08 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 18, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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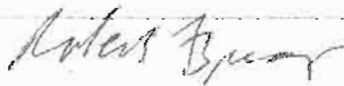
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-110

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 17, 2008

Date of Referral/Self Report: N/A

This is the 110 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 17, 2008 an offer restatement was submitted for SPBC asset at 17:55 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 20. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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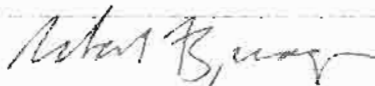
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-109

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 17, 2008

Date of Referral/Self Report: N/A

This is the 109 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 17, 2008 an offer restatement was submitted for SPBC asset at 14:06 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 17. This restatement had the effect of increasing the AC value from 27 to 27 MW. At 15:32, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 27 MW to 25 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-108

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 17, 2008

Date of Referral/Self Report: N/A

This is the 108 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 17, 2008 an offer restatement was submitted for SPBC asset at 12:15 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 14. This restatement had the effect of increasing the AC value from 0 to 2 MW. At 12:21, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 2 MW to 1 MW for HE 14. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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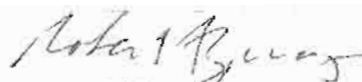
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-107

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 17, 2008

Date of Referral/Self Report: N/A

This is the 107 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 17, 2008 an offer restatement was submitted for SPBC asset at 06:01 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-106

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 12, 2008

Date of Referral/Self Report: N/A

This is the 106 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 12, 2008 an offer restatement was submitted for SPBC asset at 23:41 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 25 to 39 MW for HE 1 and increasing the AC value from 25 to 40 for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 12, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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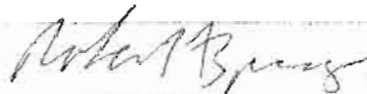
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-105

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 11, 2008

Date of Referral/Self Report: N/A

This is the 105 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 11, 2008 an offer restatement was submitted for SPBC asset at 09:02 which increased the available capability (AC) for the asset within the T-2 window for December 11, 2008 for HE 11-12. This restatement had the effect of increasing the AC value from 0 to 50 MW for HE 11-12. At 09:20, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 MW to 53 MW for HE 12. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 11, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-104

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

December 10, 2008

Date of Referral/Self Report: N/A

This is the 104 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 10, 2008 an offer restatement was submitted for SPBC asset at 15:07 which increased the available capability (AC) for the asset within the T-2 window for December 10, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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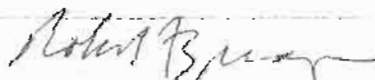
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-103

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 8, 2008

Date of Referral/Self Report: N/A

This is the 103 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 8, 2008 an offer restatement was submitted for SPBC asset at 08:55 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 11. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-102

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 8, 2008

Date of Referral/Self Report: N/A

This is the 102 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 8, 2008 an offer restatement was submitted for SPBC asset at 00:44 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 02. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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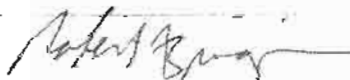
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-101

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 6, 2008

Date of Referral/Self Report: N/A

This is the 101 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 6, 2008 an offer restatement was submitted for SPBC asset at 06:43 which increased the available capability (AC) for the asset within the T-2 window for December 6, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 25 to 39 MW for HE 8 and increasing the AC value from 25 to 36 MW for HE 9. At 07:47, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 36 MW to 29 MW for HE 9. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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2. AESO information request, response, and referral as applicable.
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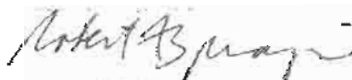
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-100

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 2, 2008

Date of Referral/Self Report: N/A

This is the 100 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 2, 2008 an offer restatement was submitted for SPBC asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for December 2, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 2, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-99

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: December 2, 2008

Date of Referral/Self Report: N/A

This is the 99 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On December 2, 2008 an offer restatement was submitted for SPBC asset at 22:07 which increased the available capability (AC) for the asset within the T-2 window for December 2, 2008 for HE 23. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for December 2, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-98

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 29, 2008

Date of Referral/Self Report: N/A

This is the 98 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 29, 2008 an offer restatement was submitted for SPBC asset at 11:55 which increased the available capability (AC) for the asset within the T-2 window for November 29, 2008 for HE 14. This restatement had the effect of increasing the AC value from 25 to 55 MW. At 12:35, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 55 MW to 44 MW for HE 14. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 29, 2008.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-97

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 28, 2008

Date of Referral/Self Report: N/A

This is the 97 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 28, 2008 an offer restatement was submitted for SPBC asset at 07:11 which increased the available capability (AC) for the asset within the T-2 window for November 28, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 28 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 28, 2008.
2. AESO information request, response, and referral as applicable.
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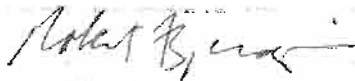
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Signature:



Signature Date:

July 16, 2010

Name:

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Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-96

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 27, 2008

Date of Referral/Self Report: N/A

This is the 96 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 27, 2008 an offer restatement was submitted for SPBC asset at 22:39 which increased the available capability (AC) for the asset within the T-2 window for November 28, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 30 MW. At 23:14 on November 27, 2008, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 30 MW to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-95 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report: | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 27, 2008 |
| Date of Referral/Self Report: | N/A | This is the 95 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 27, 2008 an offer restatement was submitted for SPBC asset at 05:21 which increased the available capability (AC) for the asset within the T-2 window for November 27, 2008 for HE 1. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 27, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-94 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 26, 2008 |
| Date of Referral/Self Report: | N/A | This is the 94 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 26, 2008 an offer restatement was submitted for SPBC asset at 04:02 which increased the available capability (AC) for the asset within the T-2 window for November 26, 2008 for HE 7. This restatement had the effect of increasing the AC value from 0 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-93

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 24, 2008

Date of Referral/Self Report: N/A

This is the 93 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 24, 2008 an offer restatement was submitted for SPBC asset at 22:41 which increased the available capability (AC) for the asset within the T-2 window for November 25, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 9 MW. At 22:57 on November 24, 2008, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 9 MW to 6 MW for HE 1 on November 25, 2008. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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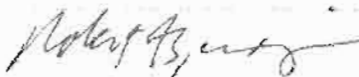
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragens

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-92

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 24, 2008

Date of Referral/Self Report: N/A

This is the 92 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 24, 2008 an offer restatement was submitted for SPBC asset at 22:16 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-91 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 24, 2008 |
| Date of Referral/Self Report: | N/A | This is the 91 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 24, 2008 an offer restatement was submitted for SPBC asset at 21:17 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 23. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 24, 2008.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-90

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 24, 2008

Date of Referral/Self Report: N/A

This is the 90 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 24, 2008 an offer restatement was submitted for SPBC asset at 20:30 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 22. This restatement had the effect of increasing the AC value from 30 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 24, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-89

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 22, 2008

Date of Referral/Self Report: N/A

This is the 89 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 22, 2008 an offer restatement was submitted for SPBC asset at 23:22 which increased the available capability (AC) for the asset within the T-2 window for November 23, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-88

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 21, 2008

Date of Referral/Self Report: N/A

This is the 88 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 21, 2008 an offer restatement was submitted for SPBC asset at 21:58 which increased the available capability (AC) for the asset within the T-2 window for November 21, 2008 for HE 23-24. This restatement had the effect of increasing the AC value from 30 to 36 MW for HE 23 and increasing the AC value from 0 to 6 MW for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-87

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 16, 2008

Date of Referral/Self Report: N/A

This is the 87 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 16, 2008 an offer restatement was submitted for SPBC asset at 23:17 which increased the available capability (AC) for the asset within the T-2 window for November 17, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 5 to 7 MW for HE 1 and increasing the AC value from 9 to 11 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 16, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-86

Specified Penalty Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention: November 14, 2008

Date of Referral/Self Report: N/A

This is the 86 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 14, 2008 an offer restatement was submitted for SPBC asset at 21:16 which increased the available capability (AC) for the asset within the T-2 window for November 14, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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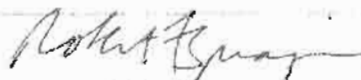
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-85

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 13, 2008

Date of Referral/Self Report: N/A

This is the 85 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 13, 2008 an offer restatement was submitted for SPBC asset at 07:21 which increased the available capability (AC) for the asset within the T-2 window for November 13, 2008 for HE 10. This restatement had the effect of increasing the AC value from 29 to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 13, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-84

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 9, 2008

Date of Referral/Self Report: N/A

This is the 84 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 9, 2008 an offer restatement was submitted for SPBC asset at 23:50 which increased the available capability (AC) for the asset within the T-2 window for November 10, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 9, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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DELIVERY OF PAYMENT

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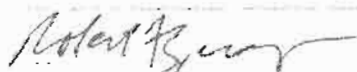
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-83

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 8, 2008

Date of Referral/Self Report: N/A

This is the 83 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 8, 2008 an offer restatement was submitted for SPBC asset at 23:22 which increased the available capability (AC) for the asset within the T-2 window for November 9, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 8, 2008.
2. AESO information request, response, and referral as applicable.
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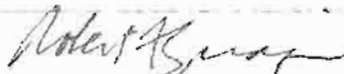
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-82

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 8, 2008

Date of Referral/Self Report: N/A

This is the 82 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 8, 2008 an offer restatement was submitted for SPBC asset at 05:05 which increased the available capability (AC) for the asset within the T-2 window for November 8, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-81

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 4, 2008

Date of Referral/Self Report: N/A

This is the 81 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 4, 2008 an offer restatement was submitted for SPBC asset at 01:33 which increased the available capability (AC) for the asset within the T-2 window for November 4, 2008 for HE 4. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 4, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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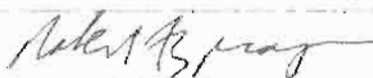
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-80

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: November 2, 2008

Date of Referral/Self Report: N/A

This is the 80 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On November 2, 2008 an offer restatement was submitted for SPBC asset at 05:33 which increased the available capability (AC) for the asset within the T-2 window for November 2, 2008 for HE 7-8. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for November 2, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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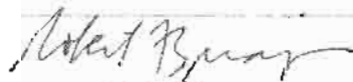
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-79

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 31, 2008

Date of Referral/Self Report: N/A

This is the 79 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 31, 2008 an offer restatement was submitted for SPBC asset at 08:53 which increased the available capability (AC) for the asset within the T-2 window for October 31, 2008 for HE 11. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 31, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-78

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 31, 2008

Date of Referral/Self Report: N/A

This is the 78 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 31, 2008 an offer restatement was submitted for SPBC asset at 07:45 which increased the available capability (AC) for the asset within the T-2 window for October 31, 2008 for HE 9. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 31, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-77 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 30, 2008 |
| Date of Referral/Self Report: | N/A | This is the 77 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 30, 2008 an offer restatement was submitted for SPBC asset at 07:52 which increased the available capability (AC) for the asset within the T-2 window for October 30, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 30, 2008.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-76

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 30, 2008

Date of Referral/Self Report: N/A

This is the 76 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 30, 2008 an offer restatement was submitted for SPBC asset at 05:36 which increased the available capability (AC) for the asset within the T-2 window for October 30, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 30, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-75

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 29, 2008

Date of Referral/Self Report: N/A

This is the 75 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 29, 2008 an offer restatement was submitted for SPBC asset at 11:26 which increased the available capability (AC) for the asset within the T-2 window for October 29, 2008 for HE 13. This restatement had the effect of increasing the AC value from 35 to 38 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 29, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-74

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 23, 2008

Date of Referral/Self Report: N/A

This is the 74 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 23, 2008 an offer restatement was submitted for SPBC asset at 02:37 which increased the available capability (AC) for the asset within the T-2 window for October 23, 2008 for HE 4-5. This restatement had the effect of increasing the AC value from 0 to 15 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 23, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 D19 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-73

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 23, 2008

Date of Referral/Self Report: N/A

This is the 73 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 23, 2008 an offer restatement was submitted for SPBC asset at 01:37 which increased the available capability (AC) for the asset within the T-2 window for October 23, 2008 for HE 3. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 23, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-72

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

October 22, 2008

Date of Referral/Self Report: N/A

This is the 72 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPBC asset at 18:55 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 21. This restatement had the effect of increasing the AC value from 30 to 35 MW. At 19:48, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 35 MW to 32 MW for HE 21. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-71

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 22, 2008

Date of Referral/Self Report: N/A

This is the 71 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPBC asset at 16:10 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 19. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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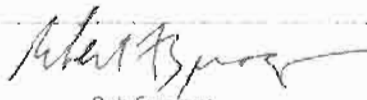
In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-70

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 22, 2008

Date of Referral/Self Report: N/A

This is the 70 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPBC asset at 14:05 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 25 to 34 MW. At 16:01, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 34 MW to 32 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Robt Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-69 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 69 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPBC asset at 10:56 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 13. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-68

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 21, 2008

Date of Referral/Self Report: N/A

This is the 68 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 21, 2008 an offer restatement was submitted for SPBC asset at 08:32 which increased the available capability (AC) for the asset within the T-2 window for October 21, 2008 for HE 11. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-67

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 19, 2008

Date of Referral/Self Report: N/A

This is the 67 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 19, 2008 an offer restatement was submitted for SPBC asset at 11:20 which increased the available capability (AC) for the asset within the T-2 window for October 19, 2008 for HE 14. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 19, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

NOTICE

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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 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-66

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 18, 2008

Date of Referral/Self Report: N/A

This is the 66 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 18, 2008 an offer restatement was submitted for SPBC asset at 09:45 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 12. This restatement had the effect of increasing the AC value from 25 to 50 MW. At 10:56, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 50 MW to 30 MW for HE 12. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 18, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-65 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 16, 2008 |
| Date of Referral/Self Report: | N/A | This is the 65 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 16, 2008 an offer restatement was submitted for SPBC asset at 23:22 which increased the available capability (AC) for the asset within the T-2 window for October 17, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 6 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 16, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spradon

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-64

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 16, 2008

Date of Referral/Self Report: N/A

This is the 64 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 16, 2008 an offer restatement was submitted for SPBC asset at 21:14 which increased the available capability (AC) for the asset within the T-2 window for October 16, 2008 for HE 22-24. This restatement had the effect of increasing the AC value from 25 to 31 MW for HE 22-23 and increasing the AC value from 0 to 6 for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 16, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-63

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 14, 2008

Date of Referral/Self Report: N/A

This is the 63 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 14, 2008 an offer restatement was submitted for SPBC asset at 05:52 which increased the available capability (AC) for the asset within the T-2 window for October 14, 2008 for HE 08. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-62

Specified Penalty
Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

October 9, 2008

Date of Referral/Self Report: N/A

This is the 62 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 9, 2008 an offer restatement was submitted for SPBC asset at 06:46 which increased the available capability (AC) for the asset within the T-2 window for October 9, 2008 for HE 08. This restatement had the effect of increasing the AC value from 25 to 37 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 9, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-61

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 8, 2008

Date of Referral/Self Report: N/A

This is the 61 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 8, 2008 an offer restatement was submitted for SPBC asset at 18:05 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 20. This restatement had the effect of increasing the AC value from 7 to 57 MW. At 18:59, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 57 MW to 50 MW for HE 20. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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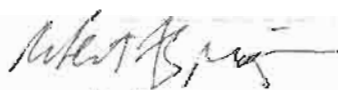
In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-60

Specified Penalty
Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 8, 2008

Date of Referral/Self Report: N/A

This is the 60 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 8, 2008 an offer restatement was submitted for SPBC asset at 11:16 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 13. This restatement had the effect of increasing the AC value from 0 to 10 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-59

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 8, 2008

Date of Referral/Self Report: N/A

This is the 59 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 8, 2008 an offer restatement was submitted for SPBC asset at 10:23 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 12. This restatement had the effect of increasing the AC value from 0 to 8 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-58

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 6, 2008

Date of Referral/Self Report: N/A

This is the 58 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 6, 2008 an offer restatement was submitted for SPBC asset at 8:16 which increased the available capability (AC) for the asset within the T-2 window for October 6, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 6, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-57

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: October 4, 2008

Date of Referral/Self Report: N/A

This is the 57 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On October 4, 2008 an offer restatement was submitted for SPBC asset at 12:22 which increased the available capability (AC) for the asset within the T-2 window for October 4, 2008 for HE 15. This restatement had the effect of increasing the AC value from 35 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for October 4, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-56

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 30, 2008

Date of Referral/Self Report: N/A

This is the 56 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 30, 2008 an offer restatement was submitted for SPBC asset at 06:21 which increased the available capability (AC) for the asset within the T-2 window for September 30, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 30, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-55

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 28, 2008

Date of Referral/Self Report: N/A

This is the 55 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 28, 2008 an offer restatement was submitted for SPBC asset at 12:05 which increased the available capability (AC) for the asset within the T-2 window for September 28, 2008 for HE 13. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 28, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Sprajns

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-54

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 28, 2008

Date of Referral/Self Report: N/A

This is the 54 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 28, 2008 an offer restatement was submitted for SPBC asset at 07:43 which increased the available capability (AC) for the asset within the T-2 window for September 28, 2008 for HE 8-10. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 28, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-53

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 26, 2008

Date of Referral/Self Report: N/A

This is the 53 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 26, 2008 an offer restatement was submitted for SPBC asset at 12:03 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 15. This restatement had the effect of increasing the AC value from 25 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-52

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 26, 2008

Date of Referral/Self Report: N/A

This is the 52 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 26, 2008 an offer restatement was submitted for SPBC asset at 06:40 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 9 to 15 MW and 32 to 38 respectively. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-51

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 25, 2008

Date of Referral/Self Report: N/A

This is the 51 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 25, 2008 an offer restatement was submitted for SPBC asset at 22:14 which increased the available capability (AC) for the asset within the T-2 window for September 25, 2008 for HE 24. This restatement had the effect of increasing the AC value from 25 to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 25, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-50 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 50 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 22, 2008 an offer restatement was submitted for SPBC asset at 08:04 which increased the available capability (AC) for the asset within the T-2 window for September 22, 2008 for HE 10-11. This restatement had the effect of increasing the AC value from 25 to 30 MW for HE 10 and increasing the AC value from 25 to 31 for HE 11. At 09:12, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 31 MW to 41 MW for HE 11. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-49

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 20, 2008

Date of Referral/Self Report: N/A

This is the 49 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 20, 2008 an offer restatement was submitted for SPBC asset at 15:17 which increased the available capability (AC) for the asset within the T-2 window for September 20, 2008 for HE 16-18. This restatement had the effect of increasing the AC value from 25 to 32 MW for HE 16 and increasing the AC value from 25 to 31 MW for HE 17-18. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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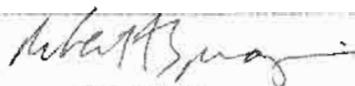
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-48

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 20, 2008

Date of Referral/Self Report: N/A

This is the 48 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 20, 2008 an offer restatement was submitted for SPBC asset at 11:26 which increased the available capability (AC) for the asset within the T-2 window for September 20, 2008 for HE 13. This restatement had the effect of increasing the AC value from 25 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-47

Specified Penalty Amount:

\$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report

YES NO

ISO Rule: 6.3.3

Date of Contravention:

September 17, 2008

Date of Referral/Self Report: N/A

This is the 47 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 17, 2008 an offer restatement was submitted for SPBC asset at 22:00 which increased the available capability (AC) for the asset within the T-2 window for September 18, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 16 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-46

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 15, 2008

Date of Referral/Self Report: N/A

This is the 46 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 15, 2008 an offer restatement was submitted for SPBC asset at 20:01 which increased the available capability (AC) for the asset within the T-2 window for September 15, 2008 for HE 23. This restatement had the effect of increasing the AC value from 16 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 15, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-45

Specified Penalty
Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 14, 2008

Date of Referral/Self Report: N/A

This is the 45 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 14, 2008 an offer restatement was submitted for SPBC asset at 21:57 which increased the available capability (AC) for the asset within the T-2 window for September 14, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 9 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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In accordance with s. 3(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-44

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 14, 2008

Date of Referral/Self Report: N/A

This is the 44 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 14, 2008 an offer restatement was submitted for SPBC asset at 19:42 which increased the available capability (AC) for the asset within the T-2 window for September 14, 2008 for HE 22. This restatement had the effect of increasing the AC value from 0 to 7 MW. At 21:56, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 7 MW to 5 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-43

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: September 3, 2008

Date of Referral/Self Report: N/A

This is the 43 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On September 3, 2008 an offer restatement was submitted for SPBC asset at 06:26 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for September 3, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-42

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 29, 2008

Date of Referral/Self Report: N/A

This is the 42 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 29, 2008 an offer restatement was submitted for SPBC asset at 09:33 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 12. This restatement had the effect of increasing the AC value from 0 to 6 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-41

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 25, 2008

Date of Referral/Self Report: N/A

This is the 41 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 25, 2008 an offer restatement was submitted for SPBC asset at 09:04 which increased the available capability (AC) for the asset within the T-2 window for August 25, 2008 for HE 11-12. This restatement had the effect of increasing the AC value from 7 to 12 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 25, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-40

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 24, 2008

Date of Referral/Self Report: N/A

This is the 40 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 24, 2008 an offer restatement was submitted for SPBC asset at 10:03 which increased the available capability (AC) for the asset within the T-2 window for August 24, 2008 for HE 13. This restatement had the effect of increasing the AC value from 0 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spradins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-39

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 23, 2008

Date of Referral/Self Report: N/A

This is the 39 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 23, 2008 an offer restatement was submitted for SPBC asset at 09:54 which increased the available capability (AC) for the asset within the T-2 window for August 23, 2008 for HE 12. This restatement had the effect of increasing the AC value from 7 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 23, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

NOTICE

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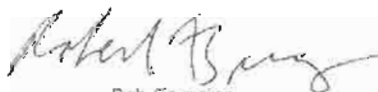
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If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager, Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-38

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 22, 2008

Date of Referral/Self Report: N/A

This is the 38 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 22, 2008 an offer restatement was submitted for SPBC asset at 22:11 which increased the available capability (AC) for the asset within the T-2 window for August 23, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-37

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 22, 2008

Date of Referral/Self Report: N/A

This is the 37 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 22, 2008 an offer restatement was submitted for SPBC asset at 17:05 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 11 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabri.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-36

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 22, 2008

Date of Referral/Self Report: N/A

This is the 36 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 22, 2008 an offer restatement was submitted for SPBC asset at 15:26 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 17-18. This restatement had the effect of increasing the AC value from 36 to 38 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-35

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 22, 2008

Date of Referral/Self Report: N/A

This is the 35 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 22, 2008 an offer restatement was submitted for SPBC asset at 13:22 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 16. This restatement had the effect of increasing the AC value from 32 to 36 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-34 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPBC | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 34 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 22, 2008 an offer restatement was submitted for SPBC asset at 12:59 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 13-15. This restatement had the effect of increasing the AC value from 0 to 7 MW for HE 13-14 and increasing the AC value from 0 to 32 MW for HE 15. At 13:22, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 32 to 11 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-33

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 21, 2008

Date of Referral/Self Report: N/A

This is the 33 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 21, 2008 an offer restatement was submitted for SPBC asset at 08:47 which increased the available capability (AC) for the asset within the T-2 window for August 21, 2008 for HE 09-11. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-32

Specified Penalty
Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 17, 2008

Date of Referral/Self Report: N/A

This is the 32 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 17, 2008 an offer restatement was submitted for SPBC asset at 20:47 which increased the available capability (AC) for the asset within the T-2 window for August 17, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-31

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 17, 2008

Date of Referral/Self Report: N/A

This is the 31 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 17, 2008 an offer restatement was submitted for SPBC asset at 10:17 which increased the available capability (AC) for the asset within the T-2 window for August 17, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-30

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 15, 2008

Date of Referral/Self Report: N/A

This is the 30 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 15, 2008 an offer restatement was submitted for SPBC asset at 10:43 which increased the available capability (AC) for the asset within the T-2 window for August 15, 2008 for HE 13. This restatement had the effect of increasing the AC value from 49 to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 15, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-29

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 15, 2008

Date of Referral/Self Report: N/A

This is the 29 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 15, 2008 an offer restatement was submitted for SPBC asset at 09:58 which increased the available capability (AC) for the asset within the T-2 window for August 15, 2008 for HE 12. This restatement had the effect of increasing the AC value from 14 to 49 MW. At 10:01, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 49 MW to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 15, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



gins

Signature Date:

July 16, 2010

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-28

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 14, 2008

Date of Referral/Self Report: N/A

This is the 28 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 14, 2008 an offer restatement was submitted for SPBC asset at 20:08 which increased the available capability (AC) for the asset within the T-2 window for August 14, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 12 to 14 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Robt Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-27

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 14, 2008

Date of Referral/Self Report: N/A

This is the 27 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 14, 2008 an offer restatement was submitted for SPBC asset at 18:42 which increased the available capability (AC) for the asset within the T-2 window for August 14, 2008 for HE 21. This restatement had the effect of increasing the AC value from 5 to 13 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-26

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 10, 2008

Date of Referral/Self Report: N/A

This is the 26 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 10, 2008 an offer restatement was submitted for SPBC asset at 14:29 which increased the available capability (AC) for the asset within the T-2 window for August 10, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 25 to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 10, 2008.
2. AESO information request, response, and referral as applicable.
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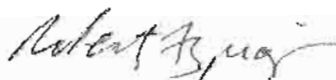
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-25

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 8, 2008

Date of Referral/Self Report: N/A

This is the 25 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 8, 2008 an offer restatement was submitted for SPBC asset at 13:27 which increased the available capability (AC) for the asset within the T-2 window for August 8, 2008 for HE 15-16. This restatement had the effect of increasing the AC value from 25 to 34 MW. At 13:59, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 34 MW to 32 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-24

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 8, 2008

Date of Referral/Self Report: N/A

This is the 24 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 8, 2008 an offer restatement was submitted for SPBC asset at 07:21 which increased the available capability (AC) for the asset within the T-2 window for August 8, 2008 for HE 10. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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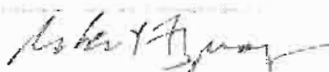
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-23

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 6, 2008

Date of Referral/Self Report: N/A

This is the 23 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 6, 2008 an offer restatement was submitted for SPBC asset at 21:31 which increased the available capability (AC) for the asset within the T-2 window for August 6, 2008 for HE 24. This restatement had the effect of increasing the AC value from 22 to 24 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 6, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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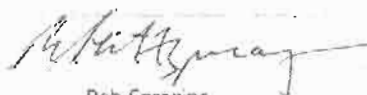
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-22

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 5, 2008

Date of Referral/Self Report: N/A

This is the 22 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 5, 2008 an offer restatement was submitted for SPBC asset at 22:18 which increased the available capability (AC) for the asset within the T-2 window for August 5, 2008 for HE 24. This restatement had the effect of increasing the AC value from 49 to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 5, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-21

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 5, 2008

Date of Referral/Self Report: N/A

This is the 21 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 5, 2008 an offer restatement was submitted for SPBC asset at 18:53 which increased the available capability (AC) for the asset within the T-2 window for August 5, 2008 for HE 21. This restatement had the effect of increasing the AC value from 38 to 48 MW. At 19:41, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 48 MW to 47 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 5, 2008.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-20

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: August 1, 2008

Date of Referral/Self Report: N/A

This is the 20 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On August 1, 2008 an offer restatement was submitted for SPBC asset at 19:34 which increased the available capability (AC) for the asset within the T-2 window for August 1, 2008 for HE 22. This restatement had the effect of increasing the AC value from 30 to 37 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for August 1, 2008.
2. AESO information request, response, and referral as applicable.
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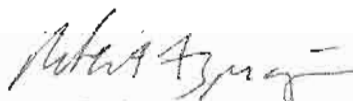
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-19

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 30, 2008

Date of Referral/Self Report: N/A

This is the 19 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 30, 2008 an offer restatement was submitted for SPBC asset at 06:02 which increased the available capability (AC) for the asset within the T-2 window for July 30, 2008 for HE 9. This restatement had the effect of increasing the AC value from 25 to 50 MW. At 06:13, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 MW to 64 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-18

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 30, 2008

Date of Referral/Self Report: N/A

This is the 18 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 30, 2008 an offer restatement was submitted for SPBC asset at 06:19 which increased the available capability (AC) for the asset within the T-2 window for July 30, 2008 for HE 8. This restatement had the effect of increasing the AC value from 25 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 30, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) dann.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-17

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 29, 2008

Date of Referral/Self Report: N/A

This is the 17 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 29, 2008 an offer restatement was submitted for SPBC asset at 13:06 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 15-16. This restatement had the effect of increasing the AC value from 38 to 63 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-16

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 29, 2008

Date of Referral/Self Report: N/A

This is the 16 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 29, 2008 an offer restatement was submitted for SPBC asset at 11:56 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 14. This restatement had the effect of increasing the AC value from 38 to 63 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-15

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 29, 2008

Date of Referral/Self Report: N/A

This is the 15 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 29, 2008 an offer restatement was submitted for SPBC asset at 06:19 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 9. This restatement had the effect of increasing the AC value from 25 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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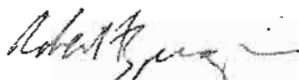
In accordance with the relevant enactments and rules, a dispute regarding the issuance of a Notice of Specified Penalty or failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-14

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 29, 2008

Date of Referral/Self Report: N/A

This is the 14 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 29, 2008 an offer restatement was submitted for SPBC asset at 05:21 which increased the available capability (AC) for the asset within the T-2 window for July 29, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW. At 06:19, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 25 MW to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-13

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 25, 2008

Date of Referral/Self Report: N/A

This is the 13 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 25, 2008 an offer restatement was submitted for SPBC asset at 20:07 which increased the available capability (AC) for the asset within the T-2 window for July 25, 2008 for HE 23. This restatement had the effect of increasing the AC value from 5 to 7 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 25, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-12

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 25, 2008

Date of Referral/Self Report: N/A

This is the 12 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 25, 2008 an offer restatement was submitted for SPBC asset at 08:56 which increased the available capability (AC) for the asset within the T-2 window for July 25, 2008 for HE 10. This restatement had the effect of increasing the AC value from 14 to 39 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 25, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-11

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 24, 2008

Date of Referral/Self Report: N/A

This is the 11 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 24, 2008 an offer restatement was submitted for SPBC asset at 20:20 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 22. This restatement had the effect of increasing the AC value from 9 to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Dann Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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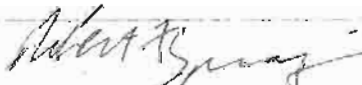
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If your organization disputes the issuance of this Notice of Specified Penalty, or if you have any other questions or comments regarding this matter, please contact the MSA compliance team at compliance@albertamsa.ca.

SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-10

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 24, 2008

Date of Referral/Self Report: N/A

This is the 10 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 24, 2008 an offer restatement was submitted for SPBC asset at 18:00 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 21. This restatement had the effect of increasing the AC value from 0 to 9 MW. At 19:13, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 9 MW to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-9

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 24, 2008

Date of Referral/Self Report: N/A

This is the 9 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 24, 2008 an offer restatement was submitted for SPBC asset at 17:56 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 20. This restatement had the effect of increasing the AC value from 0 to 25 MW. At 18:00, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 25 MW to 34 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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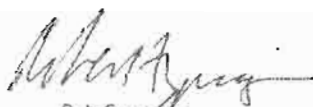
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-8

Specified Penalty
Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 24, 2008

Date of Referral/Self Report: N/A

This is the 8 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 24, 2008 an offer restatement was submitted for SPBC asset at 17:16 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 24, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-7

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 24, 2008

Date of Referral/Self Report: N/A

This is the 7 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 24, 2008 an offer restatement was submitted for SPBC asset at 11:51 which increased the available capability (AC) for the asset within the T-2 window for July 24, 2008 for HE 14. This restatement had the effect of increasing the AC value from 35 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-6

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 22, 2008

Date of Referral/Self Report: N/A

This is the 6 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 22, 2008 an offer restatement was submitted for SPBC asset at 8:33 which increased the available capability (AC) for the asset within the T-2 window for July 22, 2008 for HE 11. This restatement had the effect of increasing the AC value from 0 to 9 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 22, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-5

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC Self Report YES NO

ISO Rule: 6.3.3 Date of Contravention: July 19, 2008

Date of Referral/Self Report: N/A This is the 5 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 19, 2008 an offer restatement was submitted for SPBC asset at 5:06 which increased the available capability (AC) for the asset within the T-2 window for July 19, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 17 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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1. AESO restatement data for SPBC asset for July 19, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-4

Specified Penalty Amount: \$ 2,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 15, 2008

Date of Referral/Self Report: N/A

This is the 4 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 15, 2008 an offer restatement was submitted for SPBC asset at 19:25 which increased the available capability (AC) for the asset within the T-2 window for July 15, 2008 for HE 20-22. This restatement had the effect of increasing the AC value from 7 to 15 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 15, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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:



gins

Signature Date:

July 16, 2010

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-3

Specified Penalty Amount: \$ 1,500

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC Self Report YES NO

ISO Rule: 6.3.3 Date of Contravention: July 15, 2008

Date of Referral/Self Report: N/A

This is the 3 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 15, 2008 an offer restatement was submitted for SPBC asset at 12:24 which increased the available capability (AC) for the asset within the T-2 window for July 15, 2008 for HE 14-15. This restatement had the effect of increasing the AC value from 13 to 15 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 15, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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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:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-2

Specified Penalty Amount: \$ 1,000

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 14, 2008

Date of Referral/Self Report: N/A

This is the 2 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 14, 2008 an offer restatement was submitted for SPBC asset at 17:56 which increased the available capability (AC) for the asset within the T-2 window for July 14, 2008 for HE 20. This restatement had the effect of increasing the AC value from 7 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

MSA File Number: 2009-025-1

Specified Penalty
Amount: \$500

Market Participant Name: NorthPoint Energy Solutions

Asset ID (if applicable): SPBC

Self Report YES NO

ISO Rule: 6.3.3

Date of Contravention: July 14, 2008

Date of Referral/Self Report: N/A

This is the 1 contravention by this asset for this rule within a rolling 12 month period.

EVENT DETAILS

On July 14, 2008 an offer restatement was submitted for SPBC asset at 17:23 which increased the available capability (AC) for the asset within the T-2 window for July 14, 2008 for HE 19. This restatement had the effect of increasing the AC value from 7 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPBC asset for July 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-308 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | April 22, 2009 |
| Date of Referral/Self Report: | N/A | This is the 129 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On April 22, 2009 an offer restatement was submitted for SPSK asset at 10:19 which increased the available capability (AC) for the asset within the T-2 window for April 22, 2009 for HE 11. This restatement had the effect of increasing the AC value from 25 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for April 22, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-307 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | March 29, 2009 |
| Date of Referral/Self Report: | N/A | This is the 128 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On March 29, 2009 an offer restatement was submitted for SPSK asset at 06:32 which increased the available capability (AC) for the asset within the T-2 window for March 29, 2009 for HE 09. This restatement had the effect of increasing the AC value from 0 to 52 MW. At 06:35, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 52 MW to 50 MW for HE 09. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for March 29, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-306 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | March 8, 2009 |
| Date of Referral/Self Report: | N/A | This is the 127 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On March 8, 2009 an offer restatement was submitted for SPSK asset at 10:46 which increased the available capability (AC) for the asset within the T-2 window for March 8, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for March 8, 2009
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-305 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | March 6, 2009 |
| Date of Referral/Self Report: | N/A | This is the 126 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On March 6, 2009 an offer restatement was submitted for SPSK asset at 17:09 which increased the available capability (AC) for the asset within the T-2 window for March 6, 2009 for HE 18-20. This restatement had the effect of increasing the AC value from 83 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for March 6, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-304 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | March 3, 2009 |
| Date of Referral/Self Report: | N/A | This is the 125 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On March 3, 2009 an offer restatement was submitted for SPSK asset at 14:39 which increased the available capability (AC) for the asset within the T-2 window for March 3, 2009 for HE 17. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for March 3, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

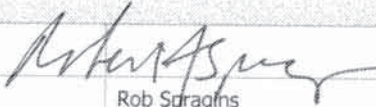
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-303 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | March 3, 2009 |
| Date of Referral/Self Report: | N/A | This is the 124 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On March 3, 2009 an offer restatement was submitted for SPSK asset at 05:34 which increased the available capability (AC) for the asset within the T-2 window for March 3, 2009 for HE 7. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for March 3, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

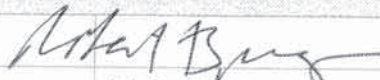
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-302 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 26, 2009 |
| Date of Referral/Self Report: | N/A | This is the 123 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 26, 2009 an offer restatement was submitted for SPSK asset at 19:31 which increased the available capability (AC) for the asset within the T-2 window for February 26, 2009 for HE 21-22. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 26, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-301 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 19, 2009 |
| Date of Referral/Self Report: | N/A | This is the 122 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 19, 2009 an offer restatement was submitted for SPSK asset at 11:59 which increased the available capability (AC) for the asset within the T-2 window for February 19, 2009 for HE 14. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 19, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-300 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 18, 2009 |
| Date of Referral/Self Report: | N/A | This is the 121 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 18, 2009 an offer restatement was submitted for SPSK asset at 07:38 which increased the available capability (AC) for the asset within the T-2 window for February 18, 2009 for HE 9. This restatement had the effect of increasing the AC value from 42 to 78 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 18, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-299 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 17, 2009 |
| Date of Referral/Self Report: | N/A | This is the 120 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 17, 2009 an offer restatement was submitted for SPSK asset at 11:29 which increased the available capability (AC) for the asset within the T-2 window for February 17, 2009 for HE 13-14. This restatement had the effect of increasing the AC value from 84 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 17, 2009
2. AESO information request, response, and referral as applicable.
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NOTICE

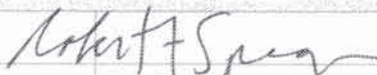
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-298 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 14, 2009 |
| Date of Referral/Self Report: | N/A | This is the 119 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 14, 2009 an offer restatement was submitted for SPSK asset at 04:17 which increased the available capability (AC) for the asset within the T-2 window for February 14, 2009 for HE 6-7. This restatement had the effect of increasing the AC value from 84 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 14, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

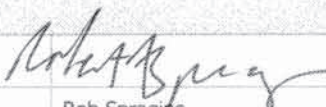
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-297 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 13, 2009 |
| Date of Referral/Self Report: | N/A | This is the 118 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 13, 2009 an offer restatement was submitted for SPSK asset at 23:48 which increased the available capability (AC) for the asset within the T-2 window for February 13, 2009 for HE 24. This restatement had the effect of increasing the AC value from 103 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 13, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-296 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 12, 2009 |
| Date of Referral/Self Report: | N/A | This is the 117 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 12, 2009 an offer restatement was submitted for SPSK asset at 01:42 which increased the available capability (AC) for the asset within the T-2 window for February 12, 2009 for HE 4. This restatement had the effect of increasing the AC value from 84 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 12, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

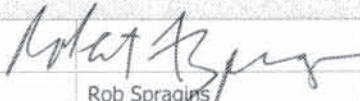
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-295 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 10, 2009 |
| Date of Referral/Self Report: | N/A | This is the 116 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 10, 2009 an offer restatement was submitted for SPSK asset at 08:21 which increased the available capability (AC) for the asset within the T-2 window for February 10, 2009 for HE 10-11. This restatement had the effect of increasing the AC value from 42 to 84 MW. At 08:27, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 84 MW to 113 MW for HE 10-11. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 10, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-294 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 6, 2009 |
| Date of Referral/Self Report: | N/A | This is the 115 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 6, 2009 an offer restatement was submitted for SPSK asset at 16:35 which increased the available capability (AC) for the asset within the T-2 window for February 6, 2009 for HE 18-19. This restatement had the effect of increasing the AC value from 63 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 6, 2009
2. AESO information request, response, and referral as applicable.
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DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-293 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 6, 2009 |
| Date of Referral/Self Report: | N/A | This is the 114 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 6, 2009 an offer restatement was submitted for SPSK asset at 12:22 which increased the available capability (AC) for the asset within the T-2 window for February 6, 2009 for HE 14-15. This restatement had the effect of increasing the AC value from 63 to 105 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Sprague | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-292 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 3, 2009 |
| Date of Referral/Self Report: | N/A | This is the 113 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 3, 2009 an offer restatement was submitted for SPSK asset at 22:39 which increased the available capability (AC) for the asset within the T-2 window for February 3, 2009 for HE 24. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 3, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE


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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-291 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 2, 2009 |
| Date of Referral/Self Report: | N/A | This is the 112 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 2, 2009 an offer restatement was submitted for SPSK asset at 09:24 which increased the available capability (AC) for the asset within the T-2 window for February 2, 2009 for HE 12. This restatement had the effect of increasing the AC value from 42 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 2, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-290 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 1, 2009 |
| Date of Referral/Self Report: | N/A | This is the 111 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 1, 2009 an offer restatement was submitted for SPSK asset at 21:27 which increased the available capability (AC) for the asset within the T-2 window for February 1, 2009 for HE 23-24. This restatement had the effect of increasing the AC value from 42 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 1, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-289 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report: | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | February 1, 2009 |
| Date of Referral/Self Report: | N/A | This is the 110 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On February 1, 2009 an offer restatement was submitted for SPSK asset at 01:22 which increased the available capability (AC) for the asset within the T-2 window for February 1, 2009 for HE 3-4. This restatement had the effect of increasing the AC value from 42 to 113 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for February 1, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-288 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 31, 2009 |
| Date of Referral/Self Report: | N/A | This is the 109 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 31, 2009 an offer restatement was submitted for SPSK asset at 09:29 which increased the available capability (AC) for the asset within the T-2 window for January 31, 2009 for HE 11-12. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 31, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-287 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 30, 2009 |
| Date of Referral/Self Report: | N/A | This is the 108 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 30, 2009 an offer restatement was submitted for SPSK asset at 10:19 which increased the available capability (AC) for the asset within the T-2 window for January 30, 2009 for HE 12-13. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 30, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-286 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 30, 2009 |
| Date of Referral/Self Report: | N/A | This is the 107 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 30, 2009 an offer restatement was submitted for SPSK asset at 08:11 which increased the available capability (AC) for the asset within the T-2 window for January 30, 2009 for HE 11. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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2. AESO information request, response, and referral as applicable.
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NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-285 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 29, 2009 |
| Date of Referral/Self Report: | N/A | This is the 106 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 29, 2009 an offer restatement was submitted for SPSK asset at 22:58 which increased the available capability (AC) for the asset within the T-2 window for January 30, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 29, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE


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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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spraggis | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-284 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 27, 2009 |
| Date of Referral/Self Report: | N/A | This is the 105 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 27, 2009 an offer restatement was submitted for SPSK asset at 14:10 which increased the available capability (AC) for the asset within the T-2 window for January 27, 2009 for HE 17. This restatement had the effect of increasing the AC value from 42 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 27, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-283 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 25, 2009 |
| Date of Referral/Self Report: | N/A | This is the 104 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 25, 2009 an offer restatement was submitted for SPSK asset at 22:18 which increased the available capability (AC) for the asset within the T-2 window for January 26, 2009 for HE 1. This restatement had the effect of increasing the AC value from 42 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 25, 2009
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-282 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 23, 2009 |
| Date of Referral/Self Report: | N/A | This is the 103 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 23, 2009 an offer restatement was submitted for SPSK asset at 22:13 which increased the available capability (AC) for the asset within the T-2 window for January 24, 2009 for HE 1. This restatement had the effect of increasing the AC value from 103 to 128 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragirls | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-281 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 23, 2009 |
| Date of Referral/Self Report: | N/A | This is the 102 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 23, 2009 an offer restatement was submitted for SPSK asset at 22:11 which increased the available capability (AC) for the asset within the T-2 window for January 23, 2009 for HE 24. This restatement had the effect of increasing the AC value from 103 to 128 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 23, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-280 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 23, 2009 |
| Date of Referral/Self Report: | N/A | This is the 101 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 23, 2009 an offer restatement was submitted for SPSK asset at 00:26 which increased the available capability (AC) for the asset within the T-2 window for January 23, 2009 for HE 2-3. This restatement had the effect of increasing the AC value from 50 to 91 MW for HE 2 and increasing AC value from 51 to 93 for HE 3. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 23, 2009.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-279 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 21, 2009 |
| Date of Referral/Self Report: | N/A | This is the 100 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 21, 2009 an offer restatement was submitted for SPSK asset at 23:40 which increased the available capability (AC) for the asset within the T-2 window for January 22, 2009 for HE 2. This restatement had the effect of increasing the AC value from 125 to 153 MW. At 23:44, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 153 MW to 125 MW for HE 2. At 00:29 on January 22, 2009, a third restatement was submitted within the T-2 window that had the effect of increasing the AC value from 125 MW to 126 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-278 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 21, 2009 |
| Date of Referral/Self Report: | N/A | This is the 99 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 21, 2009 an offer restatement was submitted for SPSK asset at 05:07 which increased the available capability (AC) for the asset within the T-2 window for January 21, 2009 for HE 8. This restatement had the effect of increasing the AC value from 103 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 21, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-277 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 20, 2009 |
| Date of Referral/Self Report: | N/A | This is the 98 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPSK asset at 23:32 which increased the available capability (AC) for the asset within the T-2 window for January 21, 2009 for HE 2. This restatement had the effect of increasing the AC value from 42 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 20, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-276 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 20, 2009 |
| Date of Referral/Self Report: | N/A | This is the 97 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPSK asset at 15:11 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 18. This restatement had the effect of increasing the AC value from 42 to 103 MW. At 15:44, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 103 MW to 155 MW for HE 18. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 20, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-275 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 20, 2009 |
| Date of Referral/Self Report: | N/A | This is the 96 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 20, 2009 an offer restatement was submitted for SPSK asset at 15:44 which increased the available capability (AC) for the asset within the T-2 window for January 20, 2009 for HE 17. This restatement had the effect of increasing the AC value from 42 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-274 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 19, 2009 |
| Date of Referral/Self Report: | N/A | This is the 95 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPSK asset at 13:03 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 16. This restatement had the effect of increasing the AC value from 92 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-273 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 19, 2009 |
| Date of Referral/Self Report: | N/A | This is the 94 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPSK asset at 12:12 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 14-15. This restatement had the effect of increasing the AC value from 67 to 92 MW. At 13:03, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 92 MW to 103 MW for HE 15. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-272 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 19, 2009 |
| Date of Referral/Self Report: | N/A | This is the 93 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 19, 2009 an offer restatement was submitted for SPSK asset at 00:31 which increased the available capability (AC) for the asset within the T-2 window for January 19, 2009 for HE 2-3. This restatement had the effect of increasing the AC value from 42 to 92 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-271 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 17, 2009 |
| Date of Referral/Self Report: | N/A | This is the 92 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 17, 2009 an offer restatement was submitted for SPSK asset at 11:41 which increased the available capability (AC) for the asset within the T-2 window for January 17, 2009 for HE 14. This restatement had the effect of increasing the AC value from 75 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 17, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-270 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 16, 2009 |
| Date of Referral/Self Report: | N/A | This is the 91 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 16, 2009 an offer restatement was submitted for SPSK asset at 08:04 which increased the available capability (AC) for the asset within the T-2 window for January 16, 2009 for HE 11. This restatement had the effect of increasing the AC value from 84 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 16, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

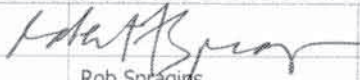
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-269 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 14, 2009 |
| Date of Referral/Self Report: | N/A | This is the 90 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 14, 2009 an offer restatement was submitted for SPSK asset at 08:31 which increased the available capability (AC) for the asset within the T-2 window for January 14, 2009 for HE 11. This restatement had the effect of increasing the AC value from 42 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 14, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spraghs | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-268 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 14, 2009 |
| Date of Referral/Self Report: | N/A | This is the 89 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 14, 2009 an offer restatement was submitted for SPSK asset at 07:58 which increased the available capability (AC) for the asset within the T-2 window for January 14, 2009 for HE 10. This restatement had the effect of increasing the AC value from 0 to 42 MW. At 08:31, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 42 MW to 50 MW for HE 10. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-267 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 11, 2009 |
| Date of Referral/Self Report: | N/A | This is the 88 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 11, 2009 an offer restatement was submitted for SPSK asset at 23:31 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-266 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report: | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 11, 2009 |
| Date of Referral/Self Report: | N/A | This is the 87 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 11, 2009 an offer restatement was submitted for SPSK asset at 23:16 which increased the available capability (AC) for the asset within the T-2 window for January 12, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-265 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 7, 2009 |
| Date of Referral/Self Report: | N/A | This is the 86 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 7, 2009 an offer restatement was submitted for SPSK asset at 00:56 which increased the available capability (AC) for the asset within the T-2 window for January 7, 2009 for HE 3. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 7, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-264 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 6, 2009 |
| Date of Referral/Self Report: | N/A | This is the 85 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 6, 2009 an offer restatement was submitted for SPSK asset at 11:58 which increased the available capability (AC) for the asset within the T-2 window for January 6, 2009 for HE 14. This restatement had the effect of increasing the AC value from 100 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 6, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-263 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 6, 2009 |
| Date of Referral/Self Report: | N/A | This is the 84 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 6, 2009 an offer restatement was submitted for SPSK asset at 08:57 which increased the available capability (AC) for the asset within the T-2 window for January 6, 2009 for HE 11. This restatement had the effect of increasing the AC value from 42 to 100 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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1. AESO restatement data for SPSK asset for January 6, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-262 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 4, 2009 |
| Date of Referral/Self Report: | N/A | This is the 83 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 4, 2009 an offer restatement was submitted for SPSK asset at 22:55 which increased the available capability (AC) for the asset within the T-2 window for January 5, 2009 for HE 1. This restatement had the effect of increasing the AC value from 0 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 4, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-261 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 4, 2009 |
| Date of Referral/Self Report: | N/A | This is the 82 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 4, 2009 an offer restatement was submitted for SPSK asset at 00:02 which increased the available capability (AC) for the asset within the T-2 window for January 4, 2009 for HE 3. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for January 4, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-260 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 23, 2008 |
| Date of Referral/Self Report: | N/A | This is the 81 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 23, 2008 an offer restatement was submitted for SPSK asset at 23:18 which increased the available capability (AC) for the asset within the T-2 window for December 24, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-259 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 23, 2008 |
| Date of Referral/Self Report: | N/A | This is the 80 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 23, 2008 an offer restatement was submitted for SPSK asset at 01:54 which increased the available capability (AC) for the asset within the T-2 window for December 23, 2008 for HE 4. This restatement had the effect of increasing the AC value from 42 to 85 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

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NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

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|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-258 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 79 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 22, 2008 an offer restatement was submitted for SPSK asset at 03:13 which increased the available capability (AC) for the asset within the T-2 window for December 22, 2008 for HE 6. This restatement had the effect of increasing the AC value from 0 to 67 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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.

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-257 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 21, 2008 |
| Date of Referral/Self Report: | N/A | This is the 78 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 21, 2008 an offer restatement was submitted for SPSK asset at 15:20 which increased the available capability (AC) for the asset within the T-2 window for December 21, 2008 for HE 18. This restatement had the effect of increasing the AC value from 82 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-256 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 21, 2008 |
| Date of Referral/Self Report: | N/A | This is the 77 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 21, 2008 an offer restatement was submitted for SPSK asset at 14:42 which increased the available capability (AC) for the asset within the T-2 window for December 21, 2008 for HE 17. This restatement had the effect of increasing the AC value from 42 to 82 MW. At 15:20, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 82 MW to 103 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

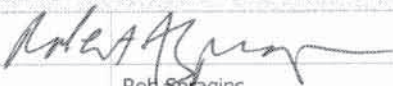
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-255 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 76 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPSK asset at 21:31 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 23-24. This restatement had the effect of increasing the AC value from 42 to 84 MW for HE 23 and increasing the AC value from 0 to 84 for HE 24. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

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|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spiegins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-254 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 75 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPSK asset at 14:22 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 92 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 20, 2008.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-253 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 74 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPSK asset at 12:20 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 14-15. This restatement had the effect of increasing the AC value from 42 to 92 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Sprague | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-252 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 73 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPSK asset at 10:14 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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NOTICE

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-251 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 18, 2008 |
| Date of Referral/Self Report: | N/A | This is the 72 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 18, 2008 an offer restatement was submitted for SPSK asset at 19:21 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 21. This restatement had the effect of increasing the AC value from 0 to 41 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 18, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-250 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 17, 2008 |
| Date of Referral/Self Report: | N/A | This is the 71 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 17, 2008 an offer restatement was submitted for SPSK asset at 16:27 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-249 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 16, 2008 |
| Date of Referral/Self Report: | N/A | This is the 70 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 16, 2008 an offer restatement was submitted for SPSK asset at 14:12 which increased the available capability (AC) for the asset within the T-2 window for December 16, 2008 for HE 16-17. This restatement had the effect of increasing the AC value from 0 to 10 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 16, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-248 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 16, 2008 |
| Date of Referral/Self Report: | N/A | This is the 69 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 16, 2008 an offer restatement was submitted for SPSK asset at 06:57 which increased the available capability (AC) for the asset within the T-2 window for December 16, 2008 for HE 9. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 16, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-247 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 15, 2008 |
| Date of Referral/Self Report: | N/A | This is the 68 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 15, 2008 an offer restatement was submitted for SPSK asset at 18:22 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 20. This restatement had the effect of increasing the AC value from 17 to 48 MW. At 18:48, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 48 to 31 MW for HE 20. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 15, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-246 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 15, 2008 |
| Date of Referral/Self Report: | N/A | This is the 67 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 15, 2008 an offer restatement was submitted for SPSK asset at 13:34 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 16. This restatement had the effect of increasing the AC value from 0 to 50 MW. At 14:20, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 50 to 92 MW for HE 16. At 14:47, a third restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 92 MW to 50 MW for HE 16. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-245 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 15, 2008 |
| Date of Referral/Self Report: | N/A | This is the 66 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 15, 2008 an offer restatement was submitted for SPSK asset at 11:32 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 14. This restatement had the effect of increasing the AC value from 21 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 15, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-244 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 14, 2008 |
| Date of Referral/Self Report: | N/A | This is the 65 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 14, 2008 an offer restatement was submitted for SPSK asset at 05:09 which increased the available capability (AC) for the asset within the T-2 window for December 14, 2008 for HE 7-8. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-243 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 13, 2008 |
| Date of Referral/Self Report: | N/A | This is the 64 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 13, 2008 an offer restatement was submitted for SPSK asset at 23:25 which increased the available capability (AC) for the asset within the T-2 window for December 14, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 13, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-242 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 13, 2008 |
| Date of Referral/Self Report: | N/A | This is the 63 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 13, 2008 an offer restatement was submitted for SPSK asset at 15:23 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 17-18. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 13, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-241 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 13, 2008 |
| Date of Referral/Self Report: | N/A | This is the 62 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 13, 2008 an offer restatement was submitted for SPSK asset at 11:23 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 13-14. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 13, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-240 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 12, 2008 |
| Date of Referral/Self Report: | N/A | This is the 61 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 12, 2008 an offer restatement was submitted for SPSK asset at 23:43 which increased the available capability (AC) for the asset within the T-2 window for December 13, 2008 for HE 2. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 12, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-239 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 8, 2008 |
| Date of Referral/Self Report: | N/A | This is the 60 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 8, 2008 an offer restatement was submitted for SPSK asset at 15:58 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 18. This restatement had the effect of increasing the AC value from 88 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 8, 2008.
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-238 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 8, 2008 |
| Date of Referral/Self Report: | N/A | This is the 59 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 8, 2008 an offer restatement was submitted for SPSK asset at 08:51 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 10-11. This restatement had the effect of increasing the AC value from 42 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-237 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 8, 2008 |
| Date of Referral/Self Report: | N/A | This is the 58 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 8, 2008 an offer restatement was submitted for SPSK asset at 06:47 which increased the available capability (AC) for the asset within the T-2 window for December 8, 2008 for HE 9. This restatement had the effect of increasing the AC value from 42 to 83 MW. At 08:51, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 83 MW to 88 MW for HE 9. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-236 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 7, 2008 |
| Date of Referral/Self Report: | N/A | This is the 57 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 7, 2008 an offer restatement was submitted for SPSK asset at 16:32 which increased the available capability (AC) for the asset within the T-2 window for December 7, 2008 for HE 19. This restatement had the effect of increasing the AC value from 67 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 7, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-235 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 7, 2008 |
| Date of Referral/Self Report: | N/A | This is the 56 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 7, 2008 an offer restatement was submitted for SPSK asset at 15:03 which increased the available capability (AC) for the asset within the T-2 window for December 7, 2008 for HE 18. This restatement had the effect of increasing the AC value from 42 to 67 MW. At 17:18, another restatement was submitted within the T-2 window that had the effect of increasing the AC value from 67 MW to 103 MW for HE 18. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 7, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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DELIVERY OF PAYMENT

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NOTICE

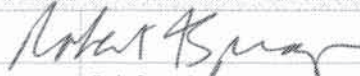
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-234 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 2, 2008 |
| Date of Referral/Self Report: | N/A | This is the 55 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 2, 2008 an offer restatement was submitted for SPSK asset at 17:10 which increased the available capability (AC) for the asset within the T-2 window for December 2, 2008 for HE 19-20. This restatement had the effect of increasing the AC value from 42 to 84 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for December 2, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-233 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 26, 2008 |
| Date of Referral/Self Report: | N/A | This is the 54 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 26, 2008 an offer restatement was submitted for SPSK asset at 22:46 which increased the available capability (AC) for the asset within the T-2 window for November 26, 2008 for HE 23-24. This restatement had the effect of increasing the AC value from 42 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-232 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 25, 2008 |
| Date of Referral/Self Report: | N/A | This is the 53 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 25, 2008 an offer restatement was submitted for SPSK asset at 19:46 which increased the available capability (AC) for the asset within the T-2 window for November 25, 2008 for HE 22. This restatement had the effect of increasing the AC value from 42 to 88 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 25, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

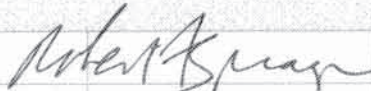
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-231 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 24, 2008 |
| Date of Referral/Self Report: | N/A | This is the 52 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 24, 2008 an offer restatement was submitted for SPSK asset at 23:44 which increased the available capability (AC) for the asset within the T-2 window for November 25, 2008 for HE 2. This restatement had the effect of increasing the AC value from 42 to 88 MW. At 00:04 on November 25, 2008, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 88 MW to 50 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 24, 2008 and November 25, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-230 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 24, 2008 |
| Date of Referral/Self Report: | N/A | This is the 51 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 24, 2008 an offer restatement was submitted for SPSK asset at 15:24 which increased the available capability (AC) for the asset within the T-2 window for November 24, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 24, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-229 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 50 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 22, 2008 an offer restatement was submitted for SPSK asset at 02:42 which increased the available capability (AC) for the asset within the T-2 window for November 22, 2008 for HE 4-5. This restatement had the effect of increasing the AC value from 45 to 76 MW for HE 4 and increasing the AC value from 45 to 87 for HE 5. At 03:38, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 87 MW to 75 MW for HE 5. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-228 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 19, 2008 |
| Date of Referral/Self Report: | N/A | This is the 49 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 19, 2008 an offer restatement was submitted for SPSK asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for November 20, 2008 for HE 01. This restatement had the effect of increasing the AC value from 0 to 103 MW. At 23:30, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 103 MW to 42 MW for HE 01. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 19, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-227 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 17, 2008 |
| Date of Referral/Self Report: | N/A | This is the 48 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 17, 2008 an offer restatement was submitted for SPSK asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for November 17, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 42 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 17, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-226 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 5, 2008 |
| Date of Referral/Self Report: | N/A | This is the 47 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 5, 2008 an offer restatement was submitted for SPSK asset at 19:28 which increased the available capability (AC) for the asset within the T-2 window for November 5, 2008 for HE 22. This restatement had the effect of increasing the AC value from 0 to 45 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 5, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-225 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 4, 2008 |
| Date of Referral/Self Report: | N/A | This is the 46 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 4, 2008 an offer restatement was submitted for SPSK asset at 05:36 which increased the available capability (AC) for the asset within the T-2 window for November 4, 2008 for HE 8. This restatement had the effect of increasing the AC value from 87 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for November 4, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-224 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 30, 2008 |
| Date of Referral/Self Report: | N/A | This is the 45 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 30, 2008 an offer restatement was submitted for SPSK asset at 23:51 which increased the available capability (AC) for the asset within the T-2 window for October 31, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 30, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-223 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 30, 2008 |
| Date of Referral/Self Report: | N/A | This is the 44 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 30, 2008 an offer restatement was submitted for SPSK asset at 18:37 which increased the available capability (AC) for the asset within the T-2 window for October 30, 2008 for HE 19-21. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 30, 2008.
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3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-222 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 27, 2008 |
| Date of Referral/Self Report: | N/A | This is the 43 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 27, 2008 an offer restatement was submitted for SPSK asset at 03:35 which increased the available capability (AC) for the asset within the T-2 window for October 27, 2008 for HE 5. This restatement had the effect of increasing the AC value from 21 to 31 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 27, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-221 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 23, 2008 |
| Date of Referral/Self Report: | N/A | This is the 42 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 23, 2008 an offer restatement was submitted for SPSK asset at 00:34 which increased the available capability (AC) for the asset within the T-2 window for October 23, 2008 for HE 2-3. This restatement had the effect of increasing the AC value from 103 to 128 MW for HE 2 and increasing the AC value from 103 to 153 for HE 3. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 23, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-220 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 41 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPSK asset at 21:19 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 24. This restatement had the effect of increasing the AC value from 66 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 22, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-219 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 40 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPSK asset at 20:21 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 42 to 67 MW for HE 22 and increasing the AC value from 42 to 66 for HE 23. At 21:14, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 67 MW to 59 MW for HE 22 and decreasing the AC value from 66 to 58 MW for HE 23. A third restatement was submitted at 21:19 within the T-2 window that had the effect of increasing the AC value from 58 to 103 for HE 23. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-218 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report: | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 39 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 22, 2008 an offer restatement was submitted for SPSK asset at 10:29 which increased the available capability (AC) for the asset within the T-2 window for October 22, 2008 for HE 13. This restatement had the effect of increasing the AC value from 42 to 103 MW. At 11:45, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 103 MW to 95 MW for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-217 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 21, 2008 |
| Date of Referral/Self Report: | N/A | This is the 38 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 21, 2008 an offer restatement was submitted for SPSK asset at 01:16 which increased the available capability (AC) for the asset within the T-2 window for October 21, 2008 for HE 3-4. This restatement had the effect of increasing the AC value from 0 to 41 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 21, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-216 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 37 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 20, 2008 an offer restatement was submitted for SPSK asset at 23:47 which increased the available capability (AC) for the asset within the T-2 window for October 21, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 20, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-215 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 19, 2008 |
| Date of Referral/Self Report: | N/A | This is the 36 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 19, 2008 an offer restatement was submitted for SPSK asset at 23:16 which increased the available capability (AC) for the asset within the T-2 window for October 20, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 43 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

| | | | |
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-214 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 18, 2008 |
| Date of Referral/Self Report: | N/A | This is the 35 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 18, 2008 an offer restatement was submitted for SPSK asset at 13:45 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 16. This restatement had the effect of increasing the AC value from 103 to 153 MW. At 13:50, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 153 MW to 120 MW for HE 16. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-213 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 18, 2008 |
| Date of Referral/Self Report: | N/A | This is the 34 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 18, 2008 an offer restatement was submitted for SPSK asset at 11:27 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 13-14. This restatement had the effect of increasing the AC value from 30 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

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SIGNATURE

Signature:



Signature Date:

July 16, 2010

Name:

Rob Spragins

Title:

Manager Investigations

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-212 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 17, 2008 |
| Date of Referral/Self Report: | N/A | This is the 33 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 17, 2008 an offer restatement was submitted for SPSK asset at 22:09 which increased the available capability (AC) for the asset within the T-2 window for October 18, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 41 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 17, 2008.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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 30 days 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.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradlin | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-211 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report: | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 13, 2008 |
| Date of Referral/Self Report: | N/A | This is the 32 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 13, 2008 an offer restatement was submitted for SPSK asset at 16:50 which increased the available capability (AC) for the asset within the T-2 window for October 13, 2008 for HE 19. This restatement had the effect of increasing the AC value from 103 to 153 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 13, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-210 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 9, 2008 |
| Date of Referral/Self Report: | N/A | This is the 31 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 9, 2008 an offer restatement was submitted for SPSK asset at 18:17 which increased the available capability (AC) for the asset within the T-2 window for October 9 2008 for HE 20. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 9, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

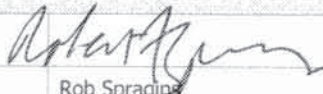
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Sprague | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-209 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 8, 2008 |
| Date of Referral/Self Report: | N/A | This is the 30 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 8, 2008 an offer restatement was submitted for SPSK asset at 23:26 which increased the available capability (AC) for the asset within the T-2 window for October 9 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-208 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 8, 2008 |
| Date of Referral/Self Report: | N/A | This is the 29 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 8, 2008 an offer restatement was submitted for SPSK asset at 18:27 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 21. This restatement had the effect of increasing the AC value from 25 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-207 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 8, 2008 |
| Date of Referral/Self Report: | N/A | This is the 28 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 8, 2008 an offer restatement was submitted for SPSK asset at 16:36 which increased the available capability (AC) for the asset within the T-2 window for October 8, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 8, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-206 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 7, 2008 |
| Date of Referral/Self Report: | N/A | This is the 27 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 7, 2008 an offer restatement was submitted for SPSK asset at 13:21 which increased the available capability (AC) for the asset within the T-2 window for October 7, 2008 for HE 15. This restatement had the effect of increasing the AC value from 42 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 7, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Sragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-205 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 5, 2008 |
| Date of Referral/Self Report: | N/A | This is the 26 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 5, 2008 an offer restatement was submitted for SPSK asset at 07:03 which increased the available capability (AC) for the asset within the T-2 window for October 5, 2008 for HE 9. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 5, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-204 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 4, 2008 |
| Date of Referral/Self Report: | N/A | This is the 25 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 4, 2008 an offer restatement was submitted for SPSK asset at 13:37 which increased the available capability (AC) for the asset within the T-2 window for October 4, 2008 for HE 16. This restatement had the effect of increasing the AC value from 65 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 4, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-203 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 3, 2008 |
| Date of Referral/Self Report: | N/A | This is the 24 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 3, 2008 an offer restatement was submitted for SPSK asset at 04:40 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 7. This restatement had the effect of increasing the AC value from 0 to 90 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 3, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-202 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 3, 2008 |
| Date of Referral/Self Report: | N/A | This is the 23 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 3, 2008 an offer restatement was submitted for SPSK asset at 04:31 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 6. This restatement had the effect of increasing the AC value from 0 to 90 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 3, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-201 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 3, 2008 |
| Date of Referral/Self Report: | N/A | This is the 22 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 3, 2008 an offer restatement was submitted for SPSK asset at 00:58 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 3. This restatement had the effect of increasing the AC value from 25 to 43 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 3, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

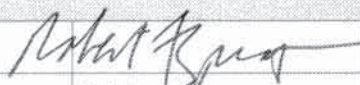
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragles | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-200 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report: | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 2, 2008 |
| Date of Referral/Self Report: | N/A | This is the 21 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 2, 2008 an offer restatement was submitted for SPSK asset at 22:23 which increased the available capability (AC) for the asset within the T-2 window for October 3, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for October 2, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-199 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 2, 2008 |
| Date of Referral/Self Report: | N/A | This is the 20 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 2, 2008 an offer restatement was submitted for SPSK asset at 22:17 which increased the available capability (AC) for the asset within the T-2 window for October 2, 2008 for HE 24. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

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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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-198 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 26, 2008 |
| Date of Referral/Self Report: | N/A | This is the 19 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 26, 2008 an offer restatement was submitted for SPSK asset at 05:55 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for September 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

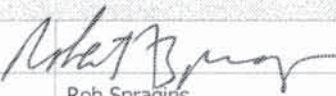
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-197 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 26, 2008 |
| Date of Referral/Self Report: | N/A | This is the 18 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 26, 2008 an offer restatement was submitted for SPSK asset at 00:49 which increased the available capability (AC) for the asset within the T-2 window for September 26, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for September 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-196 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 23, 2008 |
| Date of Referral/Self Report: | N/A | This is the 17 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 23, 2008 an offer restatement was submitted for SPSK asset at 00:50 which increased the available capability (AC) for the asset within the T-2 window for September 23, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for September 23, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-195 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 3, 2008 |
| Date of Referral/Self Report: | N/A | This is the 16 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 3, 2008 an offer restatement was submitted for SPSK asset at 10:41 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 13. This restatement had the effect of increasing the AC value from 50 to 75 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for September 3, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-194 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 3, 2008 |
| Date of Referral/Self Report: | N/A | This is the 15 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 3, 2008 an offer restatement was submitted for SPSK asset at 07:06 which increased the available capability (AC) for the asset within the T-2 window for September 3, 2008 for HE 9-10. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for September 3, 2008.
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-193 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 2, 2008 |
| Date of Referral/Self Report: | N/A | This is the 14 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 2, 2008 an offer restatement was submitted for SPSK asset at 15:24 which increased the available capability (AC) for the asset within the T-2 window for September 2, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for September 2, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-192 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 29, 2008 |
| Date of Referral/Self Report: | N/A | This is the 13 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 29, 2008 an offer restatement was submitted for SPSK asset at 16:39 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 51 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-191 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 29, 2008 |
| Date of Referral/Self Report: | N/A | This is the 12 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 29, 2008 an offer restatement was submitted for SPSK asset at 14:27 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 17. This restatement had the effect of increasing the AC value from 0 to 50 MW. At 15:24, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 50 MW to 0 MW for HE 17. At 15:25, a third restatement was submitted within the T-2 window that had the effect of increasing the AC value from 0 MW to 13 MW for HE 17. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the some of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 29, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

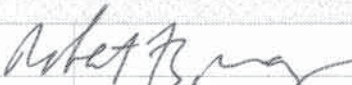
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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days and no later than 45 days after issuance. The MSA will, if applicable, also post on its website the link to any decision of the AUC respecting the specified penalty.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-190 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 28, 2008 |
| Date of Referral/Self Report: | N/A | This is the 11 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 28, 2008 an offer restatement was submitted for SPSK asset at 22:47 which increased the available capability (AC) for the asset within the T-2 window for August 29, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 28, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-189 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 28, 2008 |
| Date of Referral/Self Report: | N/A | This is the 10 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 28, 2008 an offer restatement was submitted for SPSK asset at 16:31 which increased the available capability (AC) for the asset within the T-2 window for August 28, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 28, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

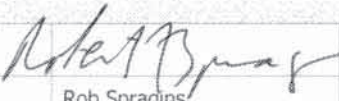
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-188 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 27, 2008 |
| Date of Referral/Self Report: | N/A | This is the 9 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 27, 2008 an offer restatement was submitted for SPSK asset at 22:07 which increased the available capability (AC) for the asset within the T-2 window for August 28, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 27, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-187 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 26, 2008 |
| Date of Referral/Self Report: | N/A | This is the 8 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 26, 2008 an offer restatement was submitted for SPSK asset at 10:38 which increased the available capability (AC) for the asset within the T-2 window for August 26, 2008 for HE 13. This restatement had the effect of increasing the AC value from 60 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 26, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-186 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 23, 2008 |
| Date of Referral/Self Report: | N/A | This is the 7 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 23, 2008 an offer restatement was submitted for SPSK asset at 07:15 which increased the available capability (AC) for the asset within the T-2 window for August 23, 2008 for HE 10. This restatement had the effect of increasing the AC value from 50 to 60 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 23, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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NOTICE

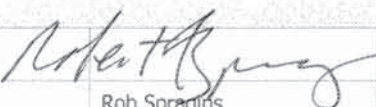
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-185 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 22, 2008 |
| Date of Referral/Self Report: | N/A | This is the 6 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 22, 2008 an offer restatement was submitted for SPSK asset at 08:28 which increased the available capability (AC) for the asset within the T-2 window for August 22, 2008 for HE 10-11. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 22, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

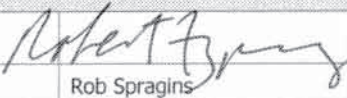
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-184 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 14, 2008 |
| Date of Referral/Self Report: | N/A | This is the 5 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 14, 2008 an offer restatement was submitted for SPSK asset at 23:58 which increased the available capability (AC) for the asset within the T-2 window for August 15, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 14, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

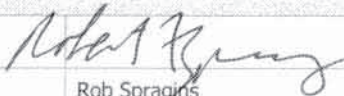
The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-183 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | August 12, 2008 |
| Date of Referral/Self Report: | N/A | This is the 4 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On August 12, 2008 an offer restatement was submitted for SPSK asset at 19:03 which increased the available capability (AC) for the asset within the T-2 window for August 12, 2008 for HE 22. This restatement had the effect of increasing the AC value from 50 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for August 12, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-182 | Specified Penalty Amount: | \$ 1,500 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | July 30, 2008 |
| Date of Referral/Self Report: | N/A | This is the 3 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On July 30, 2008 an offer restatement was submitted for SPSK asset at 13:34 which increased the available capability (AC) for the asset within the T-2 window for July 30, 2008 for HE 14-16. This restatement had the effect of increasing the AC value from 0 to 50 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for July 30, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-181 | Specified Penalty Amount: | \$ 1,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | July 7, 2008 |
| Date of Referral/Self Report: | N/A | This is the 2 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On July 7, 2008 an offer restatement was submitted for SPSK asset at 18:14 which increased the available capability (AC) for the asset within the T-2 window for July 7, 2008 for HE 20-21. This restatement had the effect of increasing the AC value from 0 to 103 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for July 7, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-180 | Specified Penalty Amount: | \$ 500 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPSK | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | July 1, 2008 |
| Date of Referral/Self Report: | N/A | This is the 1 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On July 1, 2008 an offer restatement was submitted for SPSK asset at 04:10 which increased the available capability (AC) for the asset within the T-2 window for July 1, 2008 for HE 6. This restatement had the effect of increasing the AC value from 0 to 153 MW. At 04:34, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 153 MW to 109 MW for HE 6. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPSK asset for July 1, 2008.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-332 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | April 2, 2009 |
| Date of Referral/Self Report: | N/A | This is the 24 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On April 2, 2009 an offer restatement was submitted for SPXA asset at 16:17 which increased the available capability (AC) for the asset within the T-2 window for April 2, 2009 for HE 18-19. This restatement had the effect of increasing the AC value from 0 to 60 MW for HE 18-19. At 17:40, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 60 MW to 35 MW for HE 18 and decreasing the AC value from 60 to 36 for HE 19. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for April 2, 2009.
2. AESO information request, response, and referral as applicable.
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NOTICE

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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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-331 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | March 12, 2009 |
| Date of Referral/Self Report: | N/A | This is the 23 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On March 12, 2009 an offer restatement was submitted for SPXA asset at 11:47 which increased the available capability (AC) for the asset within the T-2 window for March 12, 2009 for HE 13. This restatement had the effect of increasing the AC value from 0 to 35 MW. At 11:56, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 35 MW to 22 MW for HE 13. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for March 12, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

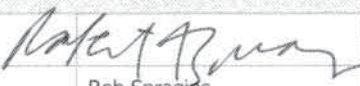
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-330 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 15, 2009 |
| Date of Referral/Self Report: | N/A | This is the 22 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 15, 2009 an offer restatement was submitted for SPXA asset at 06:41 which increased the available capability (AC) for the asset within the T-2 window for January 15, 2009 for HE 9. This restatement had the effect of increasing the AC value from 0 to 33 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for January 15, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

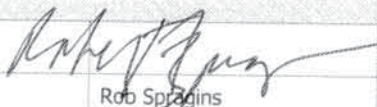
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spradins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-329 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | January 9, 2009 |
| Date of Referral/Self Report: | N/A | This is the 21 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On January 9, 2009 an offer restatement was submitted for SPXA asset at 13:57 which increased the available capability (AC) for the asset within the T-2 window for January 9, 2009 for HE 16. This restatement had the effect of increasing the AC value from 0 to 75 MW. At 15:01, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 75 MW to 35 MW for HE 16. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for January 9, 2009.
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

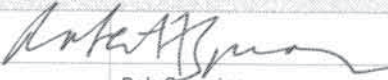
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-328 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 30, 2008 |
| Date of Referral/Self Report: | N/A | This is the 20 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 30, 2008 an offer restatement was submitted for SPXA asset at 22:50 which increased the available capability (AC) for the asset within the T-2 window for December 31, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 30, 2008
2. AESO information request, response, and referral as applicable.
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-327 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 24, 2008 |
| Date of Referral/Self Report: | N/A | This is the 19 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 24, 2008 an offer restatement was submitted for SPXA asset at 05:51 which increased the available capability (AC) for the asset within the T-2 window for December 24, 2008 for HE 7-8. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 24 2008
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-326 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 24, 2008 |
| Date of Referral/Self Report: | N/A | This is the 18 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 24, 2008 an offer restatement was submitted for SPXA asset at 01:04 which increased the available capability (AC) for the asset within the T-2 window for December 24, 2008 for HE 3. This restatement had the effect of increasing the AC value from 0 to 70 MW. At 01:12, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 70 to 0 MW for HE 3. At 01:45 a third restatement was submitted within the T-2 window that had the effect of increasing the AC value from 0 to 35 MW for HE 3. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

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MATERIAL FACTS

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-325 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 20, 2008 |
| Date of Referral/Self Report: | N/A | This is the 17 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 20, 2008 an offer restatement was submitted for SPXA asset at 00:32 which increased the available capability (AC) for the asset within the T-2 window for December 20, 2008 for HE 3. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 20 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-324 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 18, 2008 |
| Date of Referral/Self Report: | N/A | This is the 16 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 18, 2008 an offer restatement was submitted for SPXA asset at 15:17 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 18, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

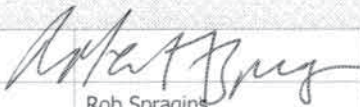
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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days and no later than 45 days after issuance. The MSA will, if applicable, also post on its website the link to any decision of the AUC respecting the specified penalty.

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-323 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 18, 2008 |
| Date of Referral/Self Report: | N/A | This is the 15 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 18, 2008 an offer restatement was submitted for SPXA asset at 07:23 which increased the available capability (AC) for the asset within the T-2 window for December 18, 2008 for HE 9. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 18, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-322 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 17, 2008 |
| Date of Referral/Self Report: | N/A | This is the 14 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 17, 2008 an offer restatement was submitted for SPXA asset at 12:39 which increased the available capability (AC) for the asset within the T-2 window for December 17, 2008 for HE 15. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 17, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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NOTICE

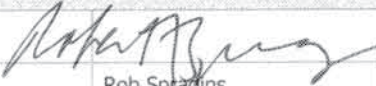
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-321 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 15, 2008 |
| Date of Referral/Self Report: | N/A | This is the 13 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 15, 2008 an offer restatement was submitted for SPXA asset at 07:09 which increased the available capability (AC) for the asset within the T-2 window for December 15, 2008 for HE 8-9. This restatement had the effect of increasing the AC value from 0 to 25 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 15, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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NOTICE

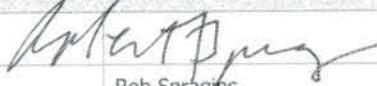
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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-320 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 11, 2008 |
| Date of Referral/Self Report: | N/A | This is the 12 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 11, 2008 an offer restatement was submitted for SPXA asset at 07:38 which increased the available capability (AC) for the asset within the T-2 window for December 11, 2008 for HE 9-10. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 11, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
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DELIVERY OF PAYMENT

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SIGNATURE

| | | | |
|------------|---|-----------------|------------------------|
| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-319 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 10, 2008 |
| Date of Referral/Self Report: | N/A | This is the 11 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 10, 2008 an offer restatement was submitted for SPXA asset at 10:30 which increased the available capability (AC) for the asset within the T-2 window for December 10, 2008 for HE 12-13. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 10, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE


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In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|--|---|
| MSA File Number: | 2009-025-318 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 10, 2008 |
| Date of Referral/Self Report: | N/A | This is the 10 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 10, 2008 an offer restatement was submitted for SPXA asset at 05:59 which increased the available capability (AC) for the asset within the T-2 window for December 10, 2008 for HE 8. This restatement had the effect of increasing the AC value from 0 to 40 MW. At 07:09, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 40 to 35 MW for HE 8. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 10, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

DELIVERY OF PAYMENT

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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-317 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | December 4, 2008 |
| Date of Referral/Self Report: | N/A | This is the 9 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On December 4, 2008 an offer restatement was submitted for SPXA asset at 14:30 which increased the available capability (AC) for the asset within the T-2 window for December 4, 2008 for HE 17. This restatement had the effect of increasing the AC value from 65 to 70 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for December 4, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
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6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-316 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 27, 2008 |
| Date of Referral/Self Report: | N/A | This is the 8 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 27, 2008 an offer restatement was submitted for SPXA asset at 19:22 which increased the available capability (AC) for the asset within the T-2 window for November 27, 2008 for HE 21-22. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for November 27, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
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SIGNATURE

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-315 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 27, 2008 |
| Date of Referral/Self Report: | N/A | This is the 7 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 27, 2008 an offer restatement was submitted for SPXA asset at 16:55 which increased the available capability (AC) for the asset within the T-2 window for November 27, 2008 for HE 18-19. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-314 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | November 5, 2008 |
| Date of Referral/Self Report: | N/A | This is the 6 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 5, 2008 an offer restatement was submitted for SPXA asset at 16:32 which increased the available capability (AC) for the asset within the T-2 window for November 5, 2008 for HE 19. This restatement had the effect of increasing the AC value from 0 to 30 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-313 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 7, 2008 |
| Date of Referral/Self Report: | N/A | This is the 5 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 7, 2008 an offer restatement was submitted for SPXA asset at 20:56 which increased the available capability (AC) for the asset within the T-2 window for October 7, 2008 for HE 22-23. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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1. AESO restatement data for SPXA asset for October 7, 2008
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| Signature: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-312 | Specified Penalty Amount: | \$ 2,000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | October 7, 2008 |
| Date of Referral/Self Report: | N/A | This is the 4 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On October 7, 2008 an offer restatement was submitted for SPXA asset at 15:54 which increased the available capability (AC) for the asset within the T-2 window for October 7, 2008 for HE 18. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for October 7, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-311 | Specified Penalty Amount: | \$ 1,500 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 18, 2008 |
| Date of Referral/Self Report: | N/A | This is the 3 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 18, 2008 an offer restatement was submitted for SPXA asset at 12:11 which increased the available capability (AC) for the asset within the T-2 window for September 18, 2008 for HE 14-15. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for September 18, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) 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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-310 | Specified Penalty Amount: | \$ 1, 000 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 16, 2008 |
| Date of Referral/Self Report: | N/A | This is the 2 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 16, 2008 an offer restatement was submitted for SPXA asset at 23:02 which increased the available capability (AC) for the asset within the T-2 window for September 17, 2008 for HE 1-2. This restatement had the effect of increasing the AC value from 0 to 75 MW. At 23:51, another restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 75 MW to 35 MW for HE 1. At 01:01 on September 17, 2008, a third restatement was submitted within the T-2 window that had the effect of decreasing the AC value from 75 MW to 35 MW for HE 2. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for September 16, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 16, 2010

Payment Due Date: August 16, 2010

| | | | |
|-------------------------------|-----------------------------|---|---|
| MSA File Number: | 2009-025-309 | Specified Penalty Amount: | \$ 500 |
| Market Participant Name: | NorthPoint Energy Solutions | | |
| Asset ID (if applicable): | SPXA | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 6.3.3 | Date of Contravention: | September 3, 2008 |
| Date of Referral/Self Report: | N/A | This is the 1 contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On September 3, 2008 an offer restatement was submitted for SPXA asset at 22:41 which increased the available capability (AC) for the asset within the T-2 window for September 4, 2008 for HE 1. This restatement had the effect of increasing the AC value from 0 to 35 MW. ISO rule 6.3.3 requires that the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange e-tag quantities (MW) for a single import source (sink) asset may only be less than the AC of such asset stated two hours before the start of the settlement interval if the importer (exporter) has an acceptable operational reason. Each importer (exporter) who offers (bids) energy must submit an energy restatement in accordance with rule 3.5.3.2 (3.5.4.2) prior to the settlement interval in which the offer is to take effect, if the sum of the importer's (exporter's) e-tag quantities (MW) and importer's (exporter's) wheel-through interchange transaction e-tag quantities (MW) for such settlement interval is less than the AC. Unless otherwise requested by the system controller under rule 6.3.7, the sum of the e-tag quantities (MW) and importer's (exporter's) wheel through interchange transaction e-tag quantities (MW) cannot be greater than the AC offered two hours before the start of a settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

MATERIAL FACTS

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

1. AESO restatement data for SPXA asset for September 3, 2008
2. AESO information request, response, and referral as applicable.
3. MSA Information Request to NorthPoint Energy Solutions dated June 23, 2009.
4. NorthPoint Energy Solutions July 20, 2009 response to MSA information request dated June 23, 2009.
5. MSA follow-up Information Request to NorthPoint Energy Solutions dated July 31, 2009.
6. NorthPoint Energy Solutions August 13, 2009 and August 26, 2009 response to MSA information request dated July 31, 2009.

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: Cora Anderson cora.anderson@auc.ab.ca, Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Market Rules) darin.lowther@auc.ab.ca.

NOTICE

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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 30 days 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: |  | Signature Date: | July 16, 2010 |
| Name: | Rob Spragins | Title: | Manager Investigations |

July 23, 2009

Delivered via e-mail to: theriault.marc@syncrude.com

Syncrude Canada Ltd.
P.O. Bag 4009, M.D. 0019
Fort McMurray, Alberta
T9H 3L1

Attention: Mr. Marc Theriault, Vice-President Production

Dear Mr. Theriault:

**Re: MSA File # 2009-040
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SCL1 – March 02, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by Syncrude #1 (SCL1) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On March 02, 2009 the SCL1 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 19:07 and ending at approximately 22:07 at variances of up to 38 MW. Syncrude indicated that there were no mitigating circumstances, affecting the Syncrude power panel operator's ability to either submit a new restatement, or contact the system controller during the relevant period.

Process

The AESO referred this event to the MSA on June 15, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your

organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and net to grid generation data for the SCL1 asset on March 02, 2009.
2. AESO Information Request to Syncrude Canada Ltd. dated May 11, 2009
3. Syncrude Canada LTD. June 4, 2009 response to AESO information request.
4. AESO letter to Syncrude Canada Ltd dated June 15, 2009 notifying the referral of the matter to the MSA
5. MSA e-mail communication to Syncrude Canada Ltd dated July 8, 2009 requesting confirmation that Syncrude has no additional information to provide.
6. Syncrude Canada Ltd e-mail communication to MSA dated July 15, 2009 indicating no further information to add.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance of 25 to less than 50 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$7,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than August 24, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

July 15, 2009

Delivered via e-mail to: daryl.nichol@alpac.ca

Alberta Pacific Forest Ind. Inc.
P.O. Box 8000
Boyle, Alberta
TOA OMO

Attention: Daryl Nichol: V.P. Pulp

Dear Mr. Nichol:

Re: MSA File # 2009-032
Contravention of ISO rule 3.5.3 – Notice of Specified Penalty
AFG1 – February 5, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the AFG1 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

Event

From February 3rd – 7th, 2009 there was a problem with a conductor on the tie line preventing AFG1 from exporting energy to the AIES. The System controller sent 5 dispatches for AFG1 during HE 1 for February 5, 2009, all of which timed out. During HE-HE24 on February 5 the available capability declaration for AFG1 was 6 MW.

Process

The AESO referred this event to the MSA on June 3, 2009 as a suspected contravention of ISO rules 3.5.3 and OPP 102, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rules 3.5.3. In this case, the MSA is not pursuing a separate penalty in respect of OPP 102.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC) and dispatch data for the AFG1 asset on February 5, 2009.
2. AESO Information Request to Alberta Pacific Forest Ind. Inc. dated March 25, 2009
3. Alberta Pacific Forest Ind. Inc. April 16, 2009 response to AESO information request.
4. AESO letter to Alberta Pacific Forest Ind. Inc. dated June 3, 2009 notifying the referral of the matter to the MSA.
5. Supplemental information provided by Alberta Pacific Forest Ind. Inc. to the MSA via e-mail communications dated June 8, 2009 and June 17, 2009.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.3. by this asset since July 1, 2008. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than August 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 published notice, the MSA does not intend to make public this notice of specified penalty on the basis that this event constitutes the first contravention of ISO rule 3.5.3 within the rolling 12 month period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

July 15, 2009

Delivered via e-mail to: adcormie@hydro.mb.ca

Manitoba Hydro
820 Taylor Avenue, Box 815
Winnipeg, MB,
R2C 2P4

Attention: Mr. David Cormie, Division Manager – Power Sales & Operations

Dear Mr. Cormie:

**Re: MSA File # 2009-034
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – March 30, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the Manitoba Hydro MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On March 30, 2009 an offer restatement was made for the MASK asset which increased the available capability for the asset within the T-2 window. While the inability to procure transmission is an acceptable operational reason for reducing the energy volume stated in an import offer (export bid) within T-2, there is no allowance within the ISO rules for increasing the energy volume of an import offer (export bid) inside of T-2 (unless it is to restore energy previously reduced in T-2 due to a transmission constraint). In a letter to the AESO dated May 25, 2009, and in e-mail communication to the MSA dated July 14, 2009, Manitoba Hydro indicated that this contravention of ISO market rules was a result of human error.

Process

The AESO referred this event to the MSA on June 4, 2009 as a suspected contravention of ISO rules 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC) and T-2 Restatement data
2. AESO Information Request to Manitoba Hydro dated May 11, 2009
3. Manitoba Hydro May 25, 2009 response to AESO information request
4. AESO letter to Manitoba Hydro dated June 4, 2009 notifying the referral of the matter to the MSA
5. Manitoba Hydro e-mail communications to the MSA dated July 14, 2009

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset since July 1, 2008. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable no later than August 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 published notice, the MSA is not intending to make public this notice of specified penalty on the basis that this event constitutes the first contravention of ISO rule 6.3.3 within the 12 month rolling period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

July 15, 2009

Delivered via e-mail to: DHazelton@canhydro.com

Canadian Gas & Electric Inc.
8701 – 108 Street
Grande Prairie, Alberta
T8V 4C5

Attention: Mr. Doug Hazelton, Division Manager

Dear Mr. Hazelton:

**Re: MSA File # 2009-037
Contravention of ISO rule 6.6 – Notice of Specified Penalty
GPEC – March 19, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by Grande Prairie Ecopower (GPEC) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On March 19, 2009 the GPEC asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 00:00 and ending at approximately 01:50 at variances of up to 10 MW. A dispatch of 27 MW for effect HE1 was accepted at approximately 23:42 on March 18, 2009 for the GPEC asset. During HE1 and HE2 the GPEC asset generated between 17 and 21 MW while it was dispatched to 27 MW.

Process

The AESO referred this event to the MSA on June 4, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC) and dispatch data for the GPEC asset on March 19, 2009.
2. AESO Information Request to Canadian Gas & Electric Inc. dated April 27, 2009
3. Canadian Gas & Electric Inc. April 29, 2009 response to AESO information request.
4. AESO letter to Canadian Gas & Electric Inc. dated June 4, 2009 notifying the referral of the matter to the MSA
5. Canadian Gas & Electric Inc. e-mail communication to the MSA dated July 9, 2009 confirming no further information to add.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance of greater than 5 to less than 15 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than August 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 published notice, the MSA is not intending to make public this notice of specified penalty on the basis that this event constitutes the first contravention of ISO rule 6.6 within the period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

August 12, 2009

Delivered via e-mail to: ken_kunz@transcanada.com

ASTC Power Partnership
c/o TransCanada Energy Ltd.
450 – 1st Street S.W.
Calgary, AB T2P 5H1

Attention: Ken Kunz, Vice-President Western Power

Dear Mr. Kunz:

Re: MSA File # 2009-041
Contravention of ISO rule 3.5.3 – Notice of Specified Penalty
SD3 – March 13, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the SD3 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

Event

On March 13, 2009 an energy restatement was submitted for the Sundance #3 (SD3) asset at 10:02 having impact on offered volumes for HE 11 – 13. This restatement had the effect of redistributing 28 MW from block 0 to block 1 for each of HE 11, 12, and 13. ISO rule 3.5.3 states that an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

Process

The AESO referred this event to the MSA on June 15, 2009 as a suspected contravention of ISO rule 3.5.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the SD3 asset for March 13, 2009.
2. AESO Information Request to ASTC Power Partnership dated May 21, 2009
3. ASTC Power Partnership June 5, 2009 response to AESO information request.
4. AESO letter to ASTC Power Partnership dated June 15, 2009 notifying the referral of the matter to the MSA.
5. E-mail communication from TransCanada to the MSA dated July 9, 2009 indicating no further information to add.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.3. by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than September 11, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Peter Karl - AltaGas
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

August 12, 2009

Delivered via e-mail to: alex_pourbaix@transcanada.com

ASTC Power Partnership
c/o TransCanada Energy Ltd.
450 – 1st Street S.W.
Calgary, AB T2P 5H1

Attention: Alex Pourbaix, President

Dear Mr. Pourbaix:

Re: MSA File # 2009-042
Contravention of ISO rule 3.5.3 – Notice of Specified Penalty
SD3 – March 13, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the SD3 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

Event

On March 13, 2009 an energy restatement was submitted for the Sundance #3 (SD3) asset at 15:04 having impact on offered volumes for HE 16 – 18. This restatement had the effect of redistributing 5 MW from block 0 to block 1 for each of HE 16, 17, and 18. ISO rule 3.5.3 states that an energy restatement which redistributes quantities offered may only be submitted if a restatement of available capability cannot reasonably accommodate an asset's operating state.

Process

The AESO referred this event to the MSA on June 15, 2009 as a suspected contravention of ISO rule 3.5.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the SD3 asset for March 13, 2009.
2. AESO Information Request to ASTC Power Partnership dated May 21, 2009
3. ASTC Power Partnership June 5, 2009 response to AESO information request.
4. AESO letter to ASTC Power Partnership dated June 15, 2009 notifying the referral of the matter to the MSA.
5. E-mail communication from TransCanada to the MSA dated July 9, 2009 indicating no further information to add.

Specified Penalty

The MSA understands that this event constitutes the second contravention of ISO rule 3.5.3. by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 3.5.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than September 11, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Richard Alexander - AltaGas
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-043
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – April 1, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On April 1, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 11:04 which increased the available capability (AC) for the asset within the T-2 window for HE 13 – 14. This restatement had the effect of increasing the AC value from 0 to 35 MW and from 0 to 36 MW for HE 13 and HE 14 respectively. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts

of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue.

Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for April 1, 2009.
2. AESO Information Request to Manitoba Hydro dated June 8, 2009
3. Manitoba Hydro June 16, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated June 25, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

August 18, 2009

Delivered via e-mail to: rod.crockford@encana.com

EnCana Corporation.
1800, 855 – 2nd Street SW
P.O. Box 2850
Calgary, Alberta
T2P 2S5

Attention: Mr. Rod Crockford

Dear Mr. Crockford:

Re: MSA File # 2009-046
Contravention of ISO rule 6.6 – Notice of Specified Penalty
EC01 – April 23, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by EnCana Cavalier (EC01) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On April 23, 2009 the EC01 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 11:17 and ending at approximately 12:20 at variances of up to 20 MW.

Process

The AESO referred this event to the MSA on June 26, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue.

Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and net to grid generation data for the EC01 asset on April 23, 2009.
2. AESO Information Request to EnCana Corporation dated June 19, 2009
3. EnCana Corporation June 23, 2009 response to AESO information request.
4. AESO DVN clarification email to EnCana Corporation dated June 26, 2009.
5. EnCana Corporation June 26, 2009 response to AESO DVN clarification email.
6. AESO letter to EnCana Corporation June 26, 2009 notifying the referral of the matter to the MSA
7. EnCana Corporation August 17, 2009 e-mail communication to MSA confirming no further information to add.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance of 15 to less than 25 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$5,000 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than September 17, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

October 21, 2009

Delivered via e-mail to: Michael_macphee@nexeninc.com; Rod.Crockford@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd St. SW
Calgary, Alberta
T2P 2S5

**Attention: Mr. Michael MacPhee, Nexen Inc.
Mr. Rod Crockford, Encana Corporation**

Dear Sirs:

**Re: MSA File # 2009-051
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – April 6, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Balzac (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

Event

On April 6, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 04:48 which decreased the DDS offer from 72 MW to 62 MW for the asset within the T-2 window for April 6, 2009 HE 6. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an “acceptable operational reason”.

Process

The AESO referred this event to the MSA on August 6, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the NX01 asset for April 6, 2009.
2. AESO Information Request to Nexen Inc. and Encana Corp. dated June 30, 2009.
3. Nexen Inc. July 15, 2009 response to AESO information request.
4. Encana Corp. August 6, 2009 response to AESO information request.
5. AESO letter to Nexen Inc. and Encana Corp. dated August 6, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.5.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 20, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Susan Schulli – Nexen
Ed Hucman - Nexan
Marie Gallant - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

Re: MSA File # 2009-055
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – May 20, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 20, 2009 the offer Available Capability (AC) value for Manitoba Hydro import (MASK) asset was 123 MW for HE 24. For this same hour, the sum of the import e-tag quantities was 103 MW which is a discrepancy of -20 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

Process

The AESO referred this event to the MSA on August 12, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for May 20, 2009.
2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
3. Manitoba Hydro August 5, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated August 12, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the fourth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Vic Schroeder – Manitoba Hydro
David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

September 30, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-056
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – May 21, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 21, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 05:12 which increased the available capability (AC) for the asset within the T-2 window for HE 6. This restatement had the effect of increasing the AC value from 0 to 36 MW for HE 6. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance

within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on August 14, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for May 21, 2009.
2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
3. Manitoba Hydro July 9, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated August 14, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the seventh contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 2, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Vic Schroeder – Manitoba Hydro
David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Darin Lowther – AUC
Sabi Ghavami – AUC

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-058
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – April 7, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On April 6, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 22:40 which increased the available capability (AC) for the asset within the T-2 window for April 7, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 36 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no

allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for April 6 and 7, 2009.
2. AESO Information Request to Manitoba Hydro dated June 8, 2009
3. Manitoba Hydro June 16, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated June 25, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the third contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-059
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – May 21, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 21, 2009 the offer Available Capability (AC) value for Manitoba Hydro import (MASK) asset was 0 MW for HE 5. For this same hour, the sum of the import e-tag quantities was 36 MW which is a discrepancy of 36 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

Process

The AESO referred this event to the MSA on August 12, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for May 21, 2009.
2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
3. Manitoba Hydro August 5, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated August 12, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the fifth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Vic Schroeder – Manitoba Hydro
David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

September 25, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-060
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – May 23, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 23, 2009 the offer Available Capability (AC) value for Manitoba Hydro import (MASK) asset was 0 MW for HE 22. For this same hour, the sum of the import e-tag quantities was 36 MW which is a discrepancy of 36 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

Process

The AESO referred this event to the MSA on August 12, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for May 23, 2009.
2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
3. Manitoba Hydro August 5, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated August 12, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the sixth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than October 26, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Vic Schroeder – Manitoba Hydro
David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

September 30, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-061
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – May 24, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 24, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 22:51 which increased the available capability (AC) for the asset within the T-2 window for HE 24. This restatement had the effect of increasing the AC value from 0 to 50 MW for HE 24. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance

within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on August 14, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for May 24, 2009.
2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
3. Manitoba Hydro July 9, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated August 14, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the eighth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 2, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Vic Schroeder – Manitoba Hydro
David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Darin Lowther – AUC
Sabi Ghavami – AUC

September 30, 2009

Delivered via e-mail to: rbbrennan@hydro.mb.ca

Manitoba Hydro
360 Portage Avenue
Box 815, Stn. Main
Winnipeg, MB
R2C 2P4

Attention: Mr. Bob Brennan, President and CEO

Dear Mr. Brennan:

**Re: MSA File # 2009-062
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
MASK – May 25, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the MASK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 24, 2009 an offer restatement was submitted for Manitoba Hydro import (MASK) asset at 22:49 which increased the available capability (AC) for the asset within the T-2 window for May 25, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 50 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no

allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on August 14, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the MASK asset for May 24 and 25, 2009.
2. AESO Information Request to Manitoba Hydro dated June 29, 2009.
3. Manitoba Hydro July 9, 2009 response to AESO information request.
4. AESO letter to Manitoba Hydro dated August 14, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the ninth contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 2, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Vic Schroeder – Manitoba Hydro
David Cormie – Manitoba Hydro
Cheryl Sanclemente – Manitoba Hydro
Darin Lowther – AUC
Sabi Ghavami – AUC

October 21, 2009

Delivered via e-mail to: Marvin.Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd St. SW
Calgary, Alberta
T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.
Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

Re: MSA File # 2009-066
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – April 6, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Balzac (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

Event

On April 6, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 21:45 which decreased the DDS offer from 65 MW to 45 MW for the asset within the T-2 window for April 6, 2009 HE 23. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an “acceptable operational reason”.

Process

The AESO referred this event to the MSA on August 6, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the NX01 asset for April 6, 2009.
2. AESO Information Request to Nexen Inc. and Encana Corp. dated June 30, 2009.
3. Nexen Inc. July 15, 2009 response to AESO information request.
4. Encana Corp. August 6, 2009 response to AESO information request.
5. AESO letter to Nexen Inc. and Encana Corp. dated August 6, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the third contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 3.5.5.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 20, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Susan Schulli – Nexen
Ed Hucman - Nexan
Marie Gallant – Encana
Rod Crockford - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

October 8, 2009

Delivered via e-mail to: teresa.conway@powerex.com

Powerex Corp.
1400, 666 Burrard Street
Vancouver, B.C.
V6C 2X8

Attention: Teresa Conway, President and Chief Executive Officer

Dear Ms. Conway:

**Re: MSA File # 2009-070
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
PWBC – April 15, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the PWBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On April 14, 2009 an offer restatement was submitted for Powerex Corp. import (PWBC) asset at 23:21 which increased the available capability (AC) for the asset within the T-2 window for April 15, 2009 HE 1. This restatement had the effect of increasing the AC value from 50 to 75 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the PWBC asset for April 14 and 15, 2009.
2. AESO Information Request to Powerex Corp. dated June 8, 2009
3. Powerex Corp. June 22, 2009 response to AESO information request.
4. AESO letter to Powerex Corp. dated June 25, 2009 notifying the referral of the matter to the MSA.
5. Powerex Corp. October 5, 2009 response to the MSA's October 1, 2009 email request for any further information or mitigating circumstances.

Specified Penalty

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 9, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jeff Lam - Powerex
Darin Lowther – AUC
Sabi Ghavami – AUC

October 8, 2009

Delivered via e-mail to: deb.armour@powerex.com

Powerex Corp.
1400, 666 Burrard Street
Vancouver, B.C.
V6C 2X8

Attention: Ms. Deb Armour, Director of Legal and Compliance Services

Dear Ms. Armour:

**Re: MSA File # 2009-071
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
PWSK – April 17, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the PWSK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On April 17, 2009 an offer restatement was submitted for Powerex Corp. import (PWSK) asset at 22:43 which increased the available capability (AC) for the asset within the T-2 window for HE 24. This restatement had the effect of increasing the AC value from 0 to 30 MW for HE 24. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the PWSK asset for April 17, 2009.
2. AESO Information Request to Powerex Corp. dated June 8, 2009
3. Powerex Corp. June 22, 2009 response to AESO information request.
4. AESO letter to Powerex Corp dated June 25, 2009 notifying the referral of the matter to the MSA.
5. Powerex Corp. October 5, 2009 response to the MSA's October 1, 2009 email request for any further information or mitigating circumstances.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 9, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jeff Lam - Powerex
Darin Lowther – AUC
Sabi Ghavami – AUC

October 8, 2009

Delivered via e-mail to: teresa.conway@powerex.com

Powerex Corp.
1400, 666 Burrard Street
Vancouver, B.C.
V6C 2X8

Attention: Teresa Conway, President and Chief Executive Officer

Dear Ms. Conway:

**Re: MSA File # 2009-072
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
PWSK – April 18, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the PWSK asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On April 17, 2009 an offer restatement was submitted for Powerex Corp. import (PWSK) asset at 22:44 which increased the available capability (AC) for the asset within the T-2 window for April 18, 2009 HE 1. This restatement had the effect of increasing the AC value from 0 to 30 MW for HE 1. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the ability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on June 25, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the PWSK asset for April 18, 2009.
2. AESO Information Request to Powerex Corp. dated June 8, 2009
3. Powerex Corp. June 22, 2009 response to AESO information request.
4. AESO letter to Powerex Corp dated June 25, 2009 notifying the referral of the matter to the MSA.
5. Powerex Corp. October 5, 2009 response to the MSA's October 1, 2009 email request for any further information or mitigating circumstances.

Specified Penalty

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than November 9, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jeff Lam - Powerex
Darin Lowther – AUC
Sabi Ghavami – AUC

December 14, 2009

Delivered via e-mail to: Marvin.Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd St. SW
Calgary, Alberta
T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.
Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

Re: MSA File # 2009-078
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – June 12, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

Event

On June 12, 2009 offer restatements were submitted for the Nexen Inc #1 (NX01) asset at 23:31 and 23:35 for HE 1 and HE 2 respectively. These restatements decreased the DDS offers from 65 MW to 56 MW (HE1) and from 65 MW to 58 MW (HE2) for the asset within the T-2 window for June 12, 2009. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an “acceptable operational reason”.

Process

The AESO referred this event to the MSA on September 28, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the NX01 asset for June 12, 2009.
2. AESO Information Request to Nexen Inc. and Encana Corp. dated August 19, 2009.
3. Nexen Inc. September 24, 2009 response to AESO information request.
4. AESO letter to Nexen Inc. and Encana Corp. dated September 28, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the fourth contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen
David P. O’Brien – c/o Marilynn Prentice, Board Executive Assistant - Encana
Susan Schulli – Nexen
Ed Hucman - Nexan
Rod Crockford - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 16, 2009

Delivered via e-mail to: dean_luciuk@transalta.com

TransAlta Utilities Corp.
110 – 12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Mr. Dean Luciuk, Vice President, Trading & Operations

Dear Mr. Luciuk:

**Re: MSA File # 2009-079
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
TEBC – July 9, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the TEBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On July 9, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation import (TEBC) asset was 125 MW for HE 12. For this same hour, the sum of the import e-tag quantities was 100 MW which is a discrepancy of 25 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

Process

The AESO referred this event to the MSA on October 9, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement and E-tag data for the TEBC asset for July 9, 2009.
2. AESO Information Request to TransAlta Energy Marketing Corporation dated September 14, 2009.
3. TransAlta Energy Marketing Corporation September 23, 2009 response to AESO information request.
4. AESO letter to TransAlta Energy Marketing Corporation dated October 9, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Darlene Halwas - TransAlta
Darren Gogol - TransAlta
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 14, 2009

Delivered via e-mail to: Marvin.Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd St. SW
Calgary, Alberta
T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.
Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

Re: MSA File # 2009-088
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – October 29, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

Event

On October 29, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 21:19 which decreased the DDS offer from 69 MW to 0 MW for the asset within the T-2 window for June 26, 2009 HE 23. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an “acceptable operational reason”.

Process

This event was self-reported to the MSA on November 13, 2009 as a suspected contravention of ISO rule 3.5 by your organization. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the NX01 asset for October 29, 2009.
2. Nexen Inc. November 13, 2009 self disclosure letter.

Specified Penalty

The MSA understands that this event constitutes the seventh contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was self-reported by your organization, and therefore an adjustment to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen
David P. O’Brien – c/o Marilynn Prentice, Board Executive Assistant - Encana
Susan Schulli – Nexen
Ed Hucman - Nexen
Rod Crockford - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 14, 2009

Delivered via e-mail to: Marvin.Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd St. SW
Calgary, Alberta
T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.
Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

Re: MSA File # 2009-095
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – June 19, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

Event

On June 19, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 05:44 which decreased the DDS offer from 55 MW to 46 MW for the asset within the T-2 window for June 19, 2009 HE 7. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an “acceptable operational reason”.

Process

The AESO referred this event to the MSA on September 28, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the NX01 asset for June 19, 2009.
2. AESO Information Request to Nexen Inc. and Encana Corp. dated August 19, 2009.
3. Nexen Inc. September 24, 2009 response to AESO information request.
4. AESO letter to Nexen Inc. and Encana Corp. dated September 28, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the fifth contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen
David P. O’Brien – c/o Marilynn Prentice, Board Executive Assistant – Encana
Susan Schulli – Nexen
Ed Hucman - Nexen
Rod Crockford - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 14, 2009

Delivered via e-mail to: Marvin.Romanow@nexeninc.com; randall.eresman@encana.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Encana Corporation
1800, 855 – 2nd St. SW
Calgary, Alberta
T2P 2S5

Attention: Mr. Marvin Romanow, President & CEO, Nexen Inc.
Mr. Randy Eresman, President & CEO, Encana Corporation

Dear Sirs:

Re: MSA File # 2009-096
Contravention of ISO rule 3.5.5 – Notice of Specified Penalty
NX01 – June 26, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO). Specifically, both Nexen Inc. and Encana Corporation are registered with the AESO as the pool participant in respect of the Nexen Inc #1 (NX01) generation asset.

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the NX01 asset with ISO rule 3.5.5. A summary of other relevant particulars is set out below, for your information.

Event

On June 26, 2009 an offer restatement was submitted for the Nexen Inc #1 (NX01) asset at 00:21 which decreased the DDS offer from 34 MW to 14 MW for the asset within the T-2 window for June 26, 2009 HE 1, HE 2 and HE 3. ISO rule 3.5.5.2 requires that the submission of a DDS energy restatement with impact on the current settlement interval or a settlement interval commencing within 2 hours of the submission must be for an “acceptable operational reason”.

Process

The AESO referred this event to the MSA on September 28, 2009 as a suspected contravention of ISO rule 3.5.5 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 3.5.5.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the NX01 asset for June 26, 2009.
2. AESO Information Request to Nexen Inc. and Encana Corp. dated August 19, 2009.
3. Nexen Inc. September 24, 2009 response to AESO information request.
4. AESO letter to Nexen Inc. and Encana Corp. dated September 28, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the sixth contravention of ISO rule 3.5.5 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$2000.00 is appropriate for this specific contravention of ISO rule 3.5.5.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 13, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Francis Saville Q.C – c/o Holly Wennerstrom, Board Executive Assistant – Nexen
David P. O’Brien – c/o Marilynn Prentice, Board Executive Assistant – Encana
Susan Schulli – Nexen
Ed Hucman - Nexen
Rod Crockford - Encana
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 16, 2009

Delivered via e-mail to: Steve.Snyder@TransAlta.com

TransAlta Utilities Corp.
110 – 12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Mr. Stephen Snyder, President and CEO

Dear Mr. Snyder:

**Re: MSA File # 2009-097
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
TEBC – July 18, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the TEBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On July 18, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation import (TEBC) asset was 125 MW for HE 14. For this same hour, the sum of the import e-tag quantities was 0 MW which is a discrepancy of 125 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

Process

The AESO referred this event to the MSA on October 9, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement and E-tag data for the TEBC asset for July 18, 2009.
2. AESO Information Request to TransAlta Energy Marketing Corporation dated September 14, 2009.
3. TransAlta Energy Marketing Corporation September 23, 2009 response to AESO information request.
4. AESO letter to TransAlta Energy Marketing Corporation dated October 9, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the second contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1000.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Darlene Halwas - TransAlta
Darren Gogol - TransAlta
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 16, 2009

Delivered via e-mail to: Steve_Snyder@TransAlta.com

TransAlta Utilities Corp.
110 – 12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Mr. Stephen Snyder, President and CEO

Dear Mr. Snyder:

**Re: MSA File # 2009-098
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
TEBC – July 30, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organizations a notice of specified penalty for non-compliance by the TEBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On July 30, 2009 the offer Available Capability (AC) value for TransAlta Energy Marketing Corporation import (TEBC) asset was 142 MW for HE 16. For this same hour, the sum of the import e-tag quantities was 192 MW which is a discrepancy of 50 MW. Section 6.3.3 of the ISO rules requires, for an importer (exporter), that the AC be restated in accordance with rule 3.5.3.2 prior to the settlement interval in which the offer is to take effect, to equal the sum of the importer's (exporter's) e-tag quantities for that interval.

Process

The AESO referred this event to the MSA on October 9, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement and E-tag data for the TEBC asset for July 30, 2009.
2. AESO Information Request to TransAlta Energy Marketing Corporation dated September 14, 2009.
3. TransAlta Energy Marketing Corporation September 23, 2009 response to AESO information request.
4. AESO letter to TransAlta Energy Marketing Corporation dated October 9, 2009 notifying the referral of the matter to the MSA.

Specified Penalty

The MSA understands that this event constitutes the third contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Darlene Halwas - TransAlta
Darren Gogol - TransAlta
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

November 12, 2009

Delivered via e-mail to: David.Toole@cargill.com

David Toole
Cargill Energy Trading Canada
12700 Whitewater Drive
Minnetonka, MN, U.S.A.,
55343

Attention: Mr. David Toole, Trading Manager

Dear Mr. Toole:

Re: MSA File # 2009-054
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
CABC – May 17, 2009

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the CABC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On May 17, 2009 an offer restatement was submitted for Cargill import (CABC) asset at 05:57 which increased the available capability (AC) for the asset within the T-2 window for May 17, 2009 HE 7 and HE 8. This restatement had the effect of increasing the AC value from 0 to 25 MW for HE 7 and HE 8. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the inability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export

bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on August 11, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the CABC asset for May 17, 2009.
2. AESO Information Request to Cargill Energy Trading Canada dated June 29, 2009.
3. Cargill Energy Trading Canada July 14, 2009 response to AESO information request.
4. Cargill Energy Trading Canada dated August 11, 2009 notifying the referral of the matter to the MSA.
5. Cargill Energy Trading Canada email dated October 23, 2009.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than December 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Lynn Martin - Cargill Energy Trading Canada
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

January 6, 2009

Delivered via e-mail to: ken_kunz@transcanada.com

TransCanada Energy Ltd.
450 - 1st Street S.W.
Calgary, Alberta
T2P 0L6

Attention: Mr. Ken Kunz, Vice-President Western Power

Dear Mr. Kunz:

**Re: MSA File # 2008-051
Contravention of ISO rule 6.6 – Notice of Specified Penalty
TC01 – April 10, 2008**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the TC01 asset with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On April 10, 2008 the Carseland (TC01) asset was found to be in non-compliance with Rule 6.6 (Dispatch Variance) for approximately 39 minutes between 12:36 and 13:15 at variances of up to 19 MW. The effect of ramping was noted as well as the effect of the next dispatch (at “13:12”). Taking into account all relevant facts, the non-compliance appeared to be over a period of at least 30 minutes.

Process

The suspected contravention was referred to the MSA by AESO on September 30, 2008 and your organization was notified accordingly. As part of its compliance monitoring the AESO obtained

information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. The MSA issued a subsequent information request to your organization on October 21, 2008 and received responses on November 4th and November 18th, 2008.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO generation and dispatch data for the TC01 asset on April 10, 2008.
2. TransCanada August 27, 2008 response to AESO August 6, 2008 information request.
3. TransCanada November 4, 2008 response to MSA October 21, 2008 information request.
4. TransCanada November 18, 2008 response to MSA October 21, 2008 information request.

Specified Penalty

The Level of Non-Compliance for this specific circumstance is assessed to be Level 1 per the specified penalties matrix contained in AUC Rule 019 (the version then in effect). The MSA understands that this event constitutes the sixth contravention of ISO rule 6.6 by your organization in the trailing 12 month period. Previous contraventions within this time frame for which your organization received notifications occurred on May 7, 2007, May 14, 2007, May 14, 2007, July 1, 2007, and November 30, 2007. The first four of these were addressed by AESO non-compliance letters in the respective AESO Decisions 2007-015, 2007-016, 2007-017, and 2007-023. The last contravention was addressed by an MSA Notice of Specified Penalty (MSA file reference 2008-001) which was adjudicated in AUC Decision 2008-126.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 4,000.00 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than February 5, 2009.

Delivery of Payment

Payment by cheque or certified funds is to be made payable to the "General Revenue Fund c/o Minister of Finance", and delivered to: The Alberta Utilities Commission 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Sherry Sellick, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with AUC Rule 019 (version then prevailing), the MSA will make public this notice of specified penalty by posting a copy of this notice on its website, on or after 30 days from the date of issuance of the notice. The MSA also reserves the right to make information pertaining to the notice public through other means, in accordance with relevant enactments and rules (including rules applicable to a hearing or other proceeding before the AUC).

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Douglas Wilson.
Legal Counsel.

Cc: Sherry Sellick - AUC
Darin Lowther - AUC
Sabi Ghavami - AUC

June 12, 2009

Delivered via e-mail to: Michael_macphee@nexeninc.com

Nexen Inc.
801 – 7th Avenue SW
Calgary, Alberta
T2P 3P7

Attention: Mr. Michael MacPhee, General Manager Power Marketing

Dear Mr. McPhee:

**Re: MSA File # 2009-029
Contravention of ISO rule 6.6 – Notice of Specified Penalty
NX02 – February 25, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by Nexen Long Lake (NX02) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On February 25, 2009 the NX02 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 11:24 and ending at approximately 12:51 at variances of up to 145 MW. While dispatched to provide 150 MW to the AIES, the NX02 asset tripped offline however, the change in operating status of the NX02 asset was not communicated by Nexen to the AESO as soon as practical in accordance with ISO rule 6.6. Consequently, the NX02 asset was considered to be in non-compliance with its dispatch for a period of approximately 87 minutes.

Process

The AESO referred this event to the MSA on May 8, 2009 as a suspected contravention of ISO rules 6.6 and 3.5.3.2, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6. In this case, the MSA is not pursuing a separate penalty in respect of ISO rule 3.5.3.2.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC) and dispatch data for the NX02 asset on February 25, 2009.
2. AESO Information Request to Nexen dated March 24, 2009
3. Nexen April 8, 2009 response to AESO information request.
4. AESO letter to Nexen dated May 8, 2009 notifying the referral of the matter to the MSA
5. Supplemental information provided by Nexen to the MSA in two e-mail communications dated June 4, 2009 and June 5, 2009.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 45 minutes in duration at a dispatch variance exceeding 50 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$10,000.00 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than July 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(2) and s. 6(3) of AUC Rule 019, the MSA will make public this notice of specified penalty on the basis that this event constitutes the third contravention of ISO rule 6.6 within the period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC
Ed Hucman - Nexen

July 16, 2009

Delivered via e-mail to: kbailey@suncor.com

Suncor Energy Inc.
P.O. Box 4001
Suncor Oil Sands Plant
Fort McMurray, Alberta
T9H 3E3

Attention: Mr. Kirk Bailey, Executive Vice President, Oil Sands

Dear Mr. Bailey:

**Re: MSA File # 2009-038
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SCR1 – May 28, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID SCR1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On May 28, 2009 the SCR1 asset was found to be in non-compliance with its dispatch level for a period beginning at 23:15 and ending at 23:40 at variances of up to 99 MW in respect of a dispatch down to 340 MW.

Process

The event was identified as a potential contravention of ISO rules by TransAlta Corporation and reported to the MSA on June 12, 2009 on behalf of your organization.

The MSA gathered other relevant records (information) in accordance with its mandate under the Act and the *MSA Investigation Procedures*, including that the MSA provided an opportunity for your organization to bring forward any additional information it considered relevant to the matters at issue.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. TransAlta June 12, 2009 letter of self report to the MSA.
2. Suncor July 2, 2009 response to a June 24, 2009 MSA Information Request.
3. AESO generation and dispatch data for the SCR1 asset on May 28, 2009.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for less than 15 minutes in duration at a dispatch variance of 50 or greater MW. As such, the applicable specified penalty is \$2,500. The MSA notes that this contravention was self-reported by your organization, and therefore a reduction to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 1,250 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than August 17, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 notice, the MSA will make public this notice of specified penalty on the basis that this event constitutes the third contravention of ISO rule 6.6 within the rolling 12 month period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

July 16, 2009

Delivered via e-mail to: kbailey@suncor.com

Suncor Energy Inc.
P.O. Box 4001
Suncor Oil Sands Plant
Fort McMurray, Alberta
T9H 3E3

Attention: Mr. Kirk Bailey, Executive Vice President, Oil Sands

Dear Mr. Bailey:

**Re: MSA File # 2009-039
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SCR1 – June 2, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID SCR1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On June 2, 2009 the SCR1 asset was found to be in non-compliance with its dispatch level for a period beginning at 09:06 and ending at 09:32 at variances of up to 98 MW in respect of a dispatch up to 434 MW.

Process

The event was identified as a potential contravention of ISO rules by TransAlta Corporation and reported to the MSA on June 12, 2009 on behalf of your organization.

The MSA gathered other relevant records (information) in accordance with its mandate under the Act and the *MSA Investigation Procedures*, including that the MSA provided an opportunity for your organization to bring forward any additional information it considered relevant to the matters at issue.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. TransAlta June 12, 2009 letter of self report to the MSA.
2. Suncor July 2, 2009 response to a June 24, 2009 MSA Information Request.
3. AESO generation and dispatch data for the SCR1 asset on June 2, 2009.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 15 minutes but less than 30 minutes in duration at a dispatch variance of 50 or greater MW. As such, the applicable specified penalty is \$5,000. The MSA notes that this contravention was self-reported by your organization, and therefore a reduction to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 2,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than August 17, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with the MSA's interpretation of s. 5(2) and s. 6(3) of AUC Rule 019 in its July 10, 2009 notice, the MSA will make public this notice of specified penalty on the basis that this event constitutes the fourth contravention of ISO rule 6.6 within the rolling 12 month period since July 1, 2008. In all cases where a market participant has failed to pay the specified penalty or disputes the notice of specified penalty, the MSA will make public on its website the notice of specified penalty and the fact of non-payment/dispute. The MSA will also post on its website the link to any decision of the AUC respecting the specified penalty.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

August 17, 2009

Delivered via e-mail to: kbailey@suncor.com

Suncor Energy Inc.
P.O. Box 4001
Suncor Oil Sands Plant
Fort McMurray, Alberta
T9H 3E3

Attention: Mr. Kirk Bailey, Executive Vice President, Oil Sands

Dear Mr. Bailey:

**Re: MSA File # 2009-049
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SCR1 – July 11, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID SCR1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On July 11, 2009 the SCR1 asset was found to be in non-compliance with its dispatch level for a period beginning at 13:32 and ending at 13:56 at variances of up to 27 MW in respect of an energy dispatch to move from 365 MW to 395 MW.

Process

The event was identified as a potential contravention of ISO rules by TransAlta Corporation and reported to the MSA on July 19, 2009 on behalf of your organization.

The MSA gathered other relevant records (information) in accordance with its mandate under the Act and the *MSA Investigation Procedures*, including that the MSA provided an opportunity for your organization to bring forward any additional information it considered relevant to the matters at issue.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. TransAlta July 19, 2009 letter of self report to the MSA.
2. AESO generation and dispatch data for the SCR1 asset on July 11, 2009.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for at least 15 minutes but less than 30 minutes in duration at a dispatch variance of 25 to less than 50 MW. As such, the applicable specified penalty is \$2,500. The MSA notes that this contravention was self-reported by your organization, and therefore a reduction to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 1,250 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than September 16, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Jodi Chaulk, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jodi Chaulk – AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

November 27, 2009

Delivered via e-mail to: rod.crockford@encana.com

EnCana Corporation.
1800, 855 – 2nd Street SW
P.O. Box 2850
Calgary, Alberta
T2P 2S5

Attention: Mr. Rod Crockford

Dear Mr. Crockford:

**Re: MSA File # 2009-063
Contravention of ISO rule 6.6 – Notice of Specified Penalty
EC04 – June 8, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID EC04 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On June 8, 2009 the EC04 asset was found to be in non-compliance with its dispatch level for a period beginning at 19:49 and ending at 20:43 at variances of up to 32 MW without a dispatch or directive from the AESO System Controller and while its available capability (AC) was stated as 0 MW.

Process

The AESO referred this event to the MSA on August 31, 2009 as a suspected contravention of ISO rules 6.6 and 3.5.3 and your organization was notified accordingly. As part of its

compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is not pursuing the event as a violation of ISO rule 3.5.3. However, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and net to grid generation data for the EC04 asset on June 8, 2009.
2. AESO Information Request to EnCana Corporation dated August 7, 2009
3. EnCana Corporation August 12, 2009 response to AESO information request.
4. AESO letter to EnCana Corporation August 31, 2009 notifying the referral of the matter to the MSA

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for 45 minutes or greater in duration at a dispatch variance of 25 to less than 50 MW. As such, the applicable specified penalty is \$7,500. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 7,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than January 8, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Paul St. Amant – EnCana Corporation
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

October 29, 2009

Delivered via e-mail to: lenns@enmax.com

ENMAX Energy Corporation
141 – 50th Avenue S.E.
Calgary, Alberta
T2G 4S7

Attention: Mr. Lonnie Enns, Vice President, Generation & Wholesale Energy

Dear Mr. Enns,

**Re: MSA File # 2009-068
Contravention of ISO rule 6.6 – Notice of Specified Penalty
BR5 – June 22, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID BR5 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On June 22, 2009 the BR5 asset was found to be in non-compliance with its dispatch level for a period beginning at 10:33 and ending at 11:06 at variances of up to 45 MW after receiving a dispatch to 360 MW from the AESO.

Process

The AESO referred this event to the MSA on September 3, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and net to grid generation data for the BR5 asset on June 22, 2009.
2. AESO Information Request to ENMAX PPA Management Inc. dated July 30, 2009.
3. ENMAX PPA Management Inc. July 30, 2009 response to AESO information request.
4. AESO letter to ENMAX PPA Management Inc. September 3, 2009 notifying the referral of the matter to the MSA
5. ENMAX PPA Management Inc. October 20, 2009 e-mail communication to MSA confirming no further information to add.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribe the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation and taking into account factors such as ramp period, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance 25 to less than 50 MW. As such, the applicable specified penalty is \$5,000. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 5,000 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than November 30, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson; Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Glenn Kosak – Enmax
Cora Anderson - AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

November 12, 2009

Delivered via e-mail to: ken_kunz@transcanada.com

TransCanada Energy Ltd.
450 – 1st Street SW
Calgary, Alberta
T2P 5H1

Attention: Mr. Ken Kunz

Dear Mr. Kunz,

**Re: MSA File # 2009-075
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SD1 – June 27, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID SD1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On June 27, 2009 the SD1 asset was found to be in non-compliance with its dispatch level for a period beginning at 02:01 and ending at 02:34 at variances of up to 85 MW after receiving a dispatch down to 200 MW from the AESO.

Process

The AESO referred this event to the MSA on September 22, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch and generation data for the SD1 asset on June 27, 2009.
2. AESO Information Request to TransCanada Energy Ltd. dated July 30, 2009.
3. TransCanada Energy Ltd. August 25, 2009 response to AESO information request.
4. AESO letter to TransCanada Energy Ltd. September 22, 2009 notifying the referral of the matter to the MSA
5. TransCanada Energy Ltd. November 3, 2009 e-mail communication to MSA.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance 50 or greater MW. As such, the applicable specified penalty is \$7,500. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 7,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than December 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Mark Kocsar - TransCanada
Cora Anderson - AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

November 12, 2009

Delivered via e-mail to: ken_kunz@transcanada.com

TransCanada Energy Ltd.
450 – 1st Street SW
Calgary, Alberta
T2P 5H1

Attention: Mr. Ken Kunz

Dear Mr. Kunz,

**Re: MSA File # 2009-076
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SD2 – June 27, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID SD2 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On June 27, 2009 the SD2 asset was found to be in non-compliance with its dispatch level for a period beginning at 02:01 and ending at 02:37 at variances of up to 37 MW after receiving a dispatch down to 180 MW from the AESO.

Process

The AESO referred this event to the MSA on September 22, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and generation data for the SD2 asset on June 27, 2009.
2. AESO Information Request to TransCanada Energy Ltd. dated July 30, 2009.
3. TransCanada Energy Ltd. August 25, 2009 response to AESO information request.
4. AESO letter to TransCanada Energy Ltd. September 22, 2009 notifying the referral of the matter to the MSA
5. TransCanada Energy Ltd. November 3, 2009 e-mail communication to the MSA.

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance 25 to less than 50 MW. As such, the applicable specified penalty is \$5,000. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 5,000 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than December 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Mark Kocsar - TransCanada
Cora Anderson - AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

November 27, 2009

Delivered via e-mail to: doucri@medicinehat.ca

City of Medicine Hat
2172 Briar Park Place NW
Medicine Hat, Alberta
T1C 1S6

Attention: Mr. Doug Crichton, Business Manager

Dear Mr. Crichton:

**Re: MSA File # 2009-083
Contravention of ISO rule 6.6 – Notice of Specified Penalty
CMH1 – July 29, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID CMH1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On July 29, 2009 the CMH1 asset was found to be in non-compliance with its dispatch level for a period beginning at 13:01 and ending at 13:44 at variances of up to 13 MW after receiving a dispatch down to 114 MW from the AESO.

Process

The AESO referred this event to the MSA on October 21, 2009 as a suspected contravention of ISO rules 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate.

Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and generation data for the CMH1 asset on July 29, 2009.
2. AESO Information Request to City of Medicine Hat dated September 17, 2009.
3. City of Medicine Hat September 24, 2009 response to AESO information request.
4. AESO letter to City of Medicine Hat October 21, 2009 notifying the referral of the matter to the MSA

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 30 to less than 45 minutes in duration at a dispatch variance of greater than 5 to less than 15 MW. As such, the applicable specified penalty is \$1,500. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty can not be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 1,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than January 8, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

December 8, 2009

Delivered via e-mail to: Dale.Meyer@Constellation.com

Grande Prairie Generation Inc.
100 Constellation Way, Suite 500C
Baltimore, MD 21202
USA

Attention: **Mr. Dale C. Meyer, Managing Director**

Dear Mr. Meyer:

**Re: MSA File # 2009-084
Contravention of ISO rule 3.5.3 – Notice of Specified Penalty
NPP1 – July 28-29, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the NPP1 asset with ISO rule 3.5.3. A summary of other relevant particulars is set out below, for your information.

Event

On July 28, 2009 NPP1 experienced NOX emissions issues which lead the plant to trip offline at 20:48. The AESO System Controller was notified that unit was off-line. However, Grande Prairie Generation Inc. failed to restate the available capability (AC) to 0 MW until HE 5 on July 29, 2009.

Process

The AESO referred this event to the MSA on October 21, 2009 as a suspected contravention of ISO rules 3.5.3 and 6.6 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is not pursuing the event as a violation of ISO rule 6.6. However, the MSA is satisfied that the event was a contravention of ISO rule 3.5.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and generation data for the NPP1 asset on July 28 & 29, 2009.
2. AESO Information Request to Grande Prairie Generation Inc. dated September 14, 2009
3. Grande Prairie Generation Inc. September 24, 2009 response to AESO information request.
4. AESO letter to Grande Prairie Generation Inc. dated October 21, 2009 notifying the referral of the matter to the MSA.
5. E-mail communication from Grande Prairie Generation Inc. to the MSA dated November 9, 2009 indicating no further information to add.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 3.5.3. by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$500.00 is appropriate for this specific contravention of ISO rule 3.5.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than January 8, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Brenda Powell – Constellation Energy
Steven Wofford – Constellation Energy
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

December 9, 2009

Delivered via e-mail to: fairley.brian@syncrude.com

Syncrude Canada Ltd.
P.O. Bag 4009, M.D. 4100
Bldg 158, Fl 4th, Fsc East)
Fort McMurray, Alberta
T9H 3L1

Attention: Mr. Brian Fairley, Vice-President Production

Dear Mr. Fairley:

**Re: MSA File # 2009-085
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SCL1 – July 18, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by Syncrude #1 (SCL1) with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On July 18, 2009 the SCL1 asset was found to be in non-compliance with its dispatch level for a period beginning at approximately 10:00 and ending at approximately 11:02 at variances of up to 30 MW. Syncrude indicated that there does not appear to be any mitigating circumstances, affecting the Syncrude power panel operator's ability to either submit a new restatement, or contact the system controller during the relevant period.

Process

The AESO referred this event to the MSA on October 22, 2009 as a suspected contravention of ISO rules 6.6, and your organization was notified accordingly. As part of its compliance

monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and generation data for the SCL1 asset on July 18, 2009.
2. AESO Information Request to Synchrude Canada Ltd. dated September 10, 2009
3. Synchrude Canada LTD. October 9, 2009 response to AESO information request.
4. AESO letter to Synchrude Canada Ltd dated October 22, 2009 notifying the referral of the matter to the MSA

Specified Penalty

AUC rule 019 and the Category 3 Penalty Table therein prescribes the applicable financial penalty based on the duration and magnitude of a dispatch variance. For the purposes of this calculation, the MSA has deemed that the contravention persisted for 45 minutes or greater in duration at a dispatch variance of 25 to less than 50 MW. The MSA notes that the contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$7,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than January 8, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Ryan Langevin - Syncrude
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

January 14, 2010

Delivered via e-mail to: ken_kunz@transcanada.com

TransCanada Energy Ltd.
450 – 1st Street SW
Calgary, Alberta
T2P 5H1

Attention: Mr. Ken Kunz

Dear Mr. Kunz,

**Re: MSA File # 2009-092
Contravention of ISO rule 6.6 – Notice of Specified Penalty
SH2 – September 24, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID SH2 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On September 24, 2009 the SH2 asset accepted a dispatch at 16:33 but did not move directionally toward the new dispatch level until 16:47. Section 6.6.3(a) of ISO Rule 6.6 requires that the output of a generating asset which is subject of the energy market dispatch and is ramping must be changed to move directionally towards the quantity (MW) indicated in that energy market dispatch within ten (10) minutes of the time specified in the energy market dispatch.

Process

The AESO referred this event to the MSA on December 4, 2009 as a suspected contravention of ISO rule 6.6 and your organization was notified accordingly. As part of its compliance

monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC), dispatch, and generation data for the SH2 asset on September 24, 2009.
2. AESO Information Request to TransCanada Energy Ltd. dated November 6, 2009.
3. TransCanada Energy Ltd. November 26, 2009 response to AESO information request.
4. AESO letter to TransCanada Energy Ltd. December 4, 2009 notifying the referral of the matter to the MSA
5. TransCanada Energy Ltd. December 22, 2009 e-mail communication to the MSA.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.6 by this asset since September 1, 2009. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 1,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Mark Kocsar - TransCanada
Cora Anderson - AUC
Darin Lowther – AUC
Sabi Ghavami - AUC

January 14, 2010

Delivered via e-mail to: Colin.Mills@TransAlta.com

Canadian Gas & Electric Inc.
C/O Box 1900, Station "M"
110-12th Avenue S.W.
Calgary, Alberta
T2P 2M1

Attention: Mr. Colin Mills, VP Gas Operations

Dear Mr. Mills:

**Re: MSA File # 2009-093
Contravention of ISO rule 6.6 – Notice of Specified Penalty
GPEC – September 4, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID GPEC with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On September 4, 2009 between 12:50 and 18:50 the GPEC asset was found to be outside its allowable dispatch variance (ADV) of 5 MW. The variance was up to 8 MW outside of its ADV and persisted for approximately 35 ten minute clock periods. Section 6.6.2(a) of ISO Rule 6.6 requires that during generating asset steady state, with reference to an energy market dispatch, the average quantity (MW) delivered by a generating asset in any 10 minute clock period referenced in the energy market dispatch must not vary from the energy market dispatch quantity (MW) by more than ADV.

Process

The AESO referred this event to the MSA on December 4, 2009 as a suspected contravention of ISO rule 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC) and dispatch data for the GPEC asset on September 4, 2009.
2. AESO Information Request to Canadian Gas & Electric Inc. dated November 6, 2009
3. Canadian Gas & Electric Inc. November 13, 2009 response to AESO information request.
4. AESO letter to Canadian Gas & Electric Inc. dated December 4, 2009 notifying the referral of the matter to the MSA
5. Canadian Gas & Electric Inc. e-mail communication to the MSA dated December 22, 2009.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.6 by this asset since September 1, 2009. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 1,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Darren Gogol - TransAlta
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

January 15, 2010

Delivered via e-mail to: Cynthia.Johnston@transalta.com

Canadian Hydro Developers Inc.
C/O Box 1900, Station 'M'
110-12th Avenue SW
Calgary, Alberta
T2P 2M1

Attention: Ms Cynthia Johnston, VP Renewable Operations

Dear Ms. Johnston:

**Re: MSA File # 2009-094
Contravention of ISO rule 6.6 – Notice of Specified Penalty
TAY1 – September 16, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID TAY1 with ISO rule 6.6. A summary of other relevant particulars is set out below, for your information.

Event

On September 16, 2009 between 22:00 and 23:30 the TAY1 asset was found to be outside its allowable dispatch variance (ADV) of 5MW. The variance was up to 7 MW outside of its ADV and persisted for approximately 10 ten minute clock periods. Section 6.6.2(a) of ISO Rule 6.6 requires that during generating asset steady state, with reference to an energy market dispatch, the average quantity (MW) delivered by a generating asset in any 10 minute clock period referenced in the energy market dispatch must not vary from the energy market dispatch quantity (MW) by more than ADV.

Process

The AESO referred this event to the MSA on December 4, 2009 as a suspected contravention of ISO rule 6.6, and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.6.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO Available Capability (AC) and dispatch data for the TAY1 asset on September 16, 2009.
2. AESO Information Request to Canadian Hydro Developers Inc. dated November 6, 2009
3. Canadian Hydro Developers Inc. December 4, 2009 response to AESO information request.
4. AESO letter to Canadian Hydro Developers Inc. dated December 4, 2009 notifying the referral of the matter to the MSA

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.6 by this asset since September 1, 2009. The MSA notes that this contravention was not self-reported by your organization, and therefore a reduction to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$ 1,500 is appropriate for this specific contravention of ISO rule 6.6.

Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the

following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Darren Gogol - TransAlta
Cora Anderson – AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

January 14, 2010

Delivered via e-mail to: lenns@enmax.com

ENMAX Energy Corporation
141 – 50th Avenue S.E.
Calgary, Alberta
T2G 4S7

Attention: Mr. Lonnie Enns, Vice President, Generation & Wholesale Energy

Dear Mr. Enns,

**Re: MSA File # 2009-100
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
EEBC – December 14, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by asset ID EEBC with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

Section 6.3.3 of the ISO rules requires the sum of the e-tag quantities cannot be greater than the Available Capability (AC) offered two hours before the settlement interval. On December 14, 2009 the e-tag quantity for EEBC asset was 33 MW for HE 11 and HE 12 and the AC offered two hours before the settlement interval was 0 MW. The MSA notes a subsequent restatement was made at 09:48 (within two hours of the settlement interval) to align the AC with the e-tag.

Process

This event was self reported to the MSA on December 23, 2009 as a suspected contravention of ISO rule 6.3.3 by your organization. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the EEBC asset for December 14, 2009.
2. ENMAX Energy Marketing Inc. self report letter dated December 23, 2009.

Specified Penalty

The MSA understands that this event constitutes the first contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was self-reported by your organization, and therefore an adjustment to the specified penalty can be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$250.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable not later than February 15, 2010.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson; Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Glenn Kosak – Enmax
Cora Anderson - AUC
Darin Lowther – AUC
Sabi Ghavami – AUC

November 12, 2009

Delivered via e-mail to: teresa.conway@powerex.com

Powerex Corp.
1400, 666 Burrard Street
Vancouver, B.C.
V6C 2X8

Attention: Teresa Conway, President and Chief Executive Officer

Dear Ms. Conway:

**Re: MSA File # 2009-067
Contravention of ISO rule 6.3.3 – Notice of Specified Penalty
PWBC – June 22, 2009**

As you will be aware, your organization is a market participant governed by the ISO rules established by the Alberta Electric System Operator (AESO).

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* (Act) to issue a notice of specified penalty where the MSA is satisfied that a person has contravened an ISO rule. The range of specified penalties is set out in Rule 019 of the Alberta Utilities Commission (AUC).

In accordance with the relevant enactments and rules, the MSA is hereby issuing to your organization a notice of specified penalty for non-compliance by the PWBC asset with ISO rule 6.3.3. A summary of other relevant particulars is set out below, for your information.

Event

On June 22, 2009 an offer restatement was submitted for Powerex Corp. import (PWBC) asset at 21:14 which increased the available capability (AC) for the asset within the T-2 window for June 22, 2009 HE 23. This restatement had the effect of increasing the AC value from 200 to 300 MW for HE 23. ISO rule 6.3.3 requires that for an importer (exporter), the sum of the e-tag quantities (MW) cannot be greater than the available capability stated two hours before the start of the settlement interval. While the inability to procure transmission is an acceptable operational reason for reducing the megawatts stated in an import offer (export bid) within T-2, there is no allowance within the rules for increasing the megawatts of an import offer (export

bid) inside of T-2 unless it is to restore megawatts previously reduced in T-2 due to a transmission constraint.

Process

The AESO referred this event to the MSA on September 2, 2009 as a suspected contravention of ISO rule 6.3.3 and your organization was notified accordingly. As part of its compliance monitoring, the AESO obtained information regarding the event and provided an opportunity for your organization to bring forward information it considered relevant to the matters at issue. Information obtained by the AESO was provided to the MSA for use in respect of its mandate. Further, in accordance with the MSA Investigation Procedures, your organization was afforded an opportunity to provide additional information to the MSA upon referral from the AESO, if you so chose.

Findings

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 6.3.3.

In this regard, the material facts which were relied upon by the MSA include the following:

1. AESO restatement data for the PWBC asset for June 22, 2009.
2. AESO Information Request to Powerex Corp. dated July 30, 2009
3. Powerex Corp. August 14, 2009 response to AESO information request.
4. AESO letter to Powerex Corp. dated September 2, 2009 notifying the referral of the matter to the MSA.
5. Powerex Corp. October 23, 2009 email stating there is no additional information to provide.

Specified Penalty

The MSA understands that this event constitutes the third contravention of ISO rule 6.3.3 by this asset in a rolling 12 month period prior to the date of this event. The MSA notes that this contravention was not self-reported by your organization, and therefore an adjustment to the specified penalty cannot be made on that basis.

For these reasons, and in accordance with AUC Rule 019, the MSA has determined that a total specified penalty in the amount of \$1500.00 is appropriate for this specific contravention of ISO rule 6.3.3.

Specified Penalty Due Date

The penalty is due and payable to the AUC not later than December 14, 2009.

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 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 # (see first page of notice). Delivery of payment should also be confirmed in

writing or by email to Doug Doll, the MSA contact person noted below with copy to the following AUC personnel: Cora Anderson, Sabi Ghavami (Director, Finance), and Darin Lowther (Director, Market Rules).

Failure to Pay Specified Penalty

Failure to pay the specified penalty in accordance with this notice will result in a hearing or other proceeding before the AUC.

Dispute re Notice of 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 Doug Doll, Senior Analyst, MSA, at (403) 233-6497 or doug.doll@albertamsa.ca.

In accordance with the relevant enactments and rules, a dispute regarding the issuance of a notice of specified penalty will be addressed by an AUC hearing or other proceeding.

Notice of Specified Penalty Public

In accordance with s. 5(1) of AUC Rule 019 this notice of specified penalty will be made public 30 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.

The MSA is committed to working with your organization and other market participants on compliance related matters, including re: the ISO rules. For further information regarding the monitoring, investigation and enforcement of ISO rules, we would refer you to the *MSA Investigation Procedures* (particularly Appendix A therein), found on the MSA website under *Processes*.

Yours truly,
Market Surveillance Administrator

“Original Signed”

Per: Matt Ayres
Chief Economist

Cc: Jeff Lam - Powerex
Cora Anderson - AUC
Darin Lowther – AUC
Sabi Ghavami – AUC