

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 15, 2015

Payment Due Date: May 15, 2015

| | | | |
|-------------------------------|--------------------------------------|--|---|
| MSA File Number: | 2015-054 | Specified Penalty Amount: | \$ 1,500 |
| Market Participant Name: | Daishowa-Marubeni International Ltd. | | |
| Asset ID (if applicable): | DAI1 | Self Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule: | 203.3 | Date of Contravention: | November 30, 2014 |
| Date of Referral/Self Report: | March 2, 2015 | This is the second contravention by this asset for this rule within a rolling 12 month period. | |

EVENT DETAILS

On November 30, 2014, from approximately 08:49 to approximately 09:30 the DAI1 asset had a declared available capability (AC) of 23 MW and an energy dispatch of 13 MW. However, during this interval the asset was importing of energy from the grid. ISO rule 203.3 indicates that a pool participant that submits an offer must, if there is a change to the available capability of the source asset as a result of an acceptable operational reason, submit an available capability restatement revising the available capability for the applicable hours, as soon as reasonably practicable.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.3.

MATERIAL FACTS

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

1. AESO generation, dispatch, and available capability data for DAI1 for November 30, 2014.
2. AESO information request issued to Daishowa-Marubeni International Ltd. dated February 10, 2015.
3. Daishowa-Marubeni International Ltd.'s response to the AESO information request dated February 12, 2015.
4. Referral from the AESO to the MSA dated March 2, 2015.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Sabi Ghavami (Director, Finance) sabi.ghavami@auc.ab.ca, and Darin Lowther (Director, Markets) darin.lowther@auc.ab.ca.

NOTICE

The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the *Alberta Utilities Commission Act* to issue a Notice of Specified Penalty where the MSA is satisfied that a person has contravened an ISO rule. Specified penalties are set out in AUC Rule 019.

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier than receipt of confirmation of payment from the Commission and no later than 45 days after issuance. The MSA will, if applicable, also post on its website the link to any decision of the AUC respecting the specified penalty.

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

SIGNATURE

| | | | |
|------------|-------------------|-----------------|---|
| Signature: | "Original Signed" | Signature Date: | April 15, 2015 |
| Name: | Doug Doll | Title: | Manager Compliance and Corporate Services |