

## NOTICE OF SPECIFIED PENALTY

Date of Issue: October 16, 2013

Payment Due Date: November 18, 2013

MSA File Number:	2013-331	<b>Specified Penalty Amount:</b>	\$ 500
Market Participant Name:	Rainbow Energy Marketing Corporation		
Asset ID (if applicable):	REXS	Self Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule:	201.3	Date of Contravention:	July 22, 2013
Date of Referral/Self Report:	September 30, 2013	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

For July 22, 2013, for settlement intervals HE 19 to HE 23, no offer control information was submitted in respect of non-zero MW export bids submitted for each of these settlement intervals. ISO rule section 201.3 requires that Pool Participants who submit a bid for an export interchange transaction must provide Offer Control information for any operating block in the offer with a quantity greater than zero (0) MW. ISO rule section 201.3 further requires that this information is submitted to the AESO no later than 30 days after the settlement interval to which the offer control information applies.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 201.3.

### MATERIAL FACTS

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

1. AESO export bid data for the REXS asset for July 22, 2013.
2. AESO September 30, 2013 letter to Rainbow Energy notifying the referral of the matter to the MSA.

### DELIVERY OF PAYMENT

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

### NOTICE

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

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

In accordance with s. 5(1) of AUC Rule 019 this Notice of Specified Penalty will be made public no earlier 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](mailto:compliance@albertamsa.ca).

### SIGNATURE

Signature:	"Original Signed"	Signature Date:	October 16, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services