

## NOTICE OF SPECIFIED PENALTY

Date of Issue: November 20, 2013

Payment Due Date: December 20, 2013

MSA File Number:	2013-385	<b>Specified Penalty Amount:</b>	\$ 5,000
Market Participant Name:	Powerex Corp.		
Asset ID (if applicable):	FNG1	Self Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule:	203.4	Date of Contravention:	October 6, 2013
Date of Referral/Self Report:	October 30, 2013	This is the fifth contravention both by this asset and by the participant for this rule within a rolling 12 month period.	

### EVENT DETAILS

On October 6, 2013 at 20:29 MDT, the FNG1 generating asset accepted an energy dispatch instruction to move down from an output level of 40 MW to 16 MW, for immediate effect. FNG1 did not begin to ramp down its output until approximately 20:45 MDT (16 minutes later). ISO Rule 203.4 states that a pool participant must move the output of a generating source asset which is the subject of a dispatch and ramping, towards the MW level indicated in that dispatch within ten (10) minutes of the time specified in the dispatch but not prior to the time specified in the dispatch.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 203.4.

### MATERIAL FACTS

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

1. AESO dispatch and generation data for the FNG1 asset for October 6, 2013.
2. Self-report from Powerex Corp. to the MSA dated October 30, 2013.

### 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:	November 20, 2013
Name:	Doug Doll	Title:	Manager, Compliance and Corporate Services