

## NOTICE OF SPECIFIED PENALTY

|                              |                                 |   |   |
|------------------------------|---------------------------------|---|---|
| Date of Issue: July 11, 2019 |                                 | Payment Due Date: August 12, 2019   |   |
| MSA File Number              | 2019-027                        | <b>Specified Penalty Amount</b>   | <b>\$750</b>  |
| Registered Entity Name       | ENMAX Generation Portfolio Inc. |   |   |
| Asset ID (if applicable)     | CRS2                            | Self-Report   | <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO |
| ISO Rule                     | 203.3                           | Date of Contravention   | December 16, 2018   |
| Date of Referral/Self Report | January 10, 2019                | This is the first contravention by this asset for this rule within a rolling 12 month period. |   |

### EVENT DETAILS

At approximately 17:44 on December 16, 2018, generating asset CRS2 received an energy dispatch to reduce to 0 MW effective at 18:00. Information available to the MSA indicates that the unit's available capability (AC) was 0 MW immediately following the ramp to 0 MW. However, no corresponding AC restatement of 0 MW was entered into the Energy Trading System to reflect this change in the source asset's operating state. Subsection 2(2) of section 203.3 of the ISO rules states:

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 any of the circumstances outlined in subsections 2(1)(a), (b) or (c), 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 available capability, dispatch and generation data for CRS2 for December 16, 2018.
2. Self-report submitted by ENMAX Generation Portfolio Inc. to the MSA dated January 10, 2019.

### 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: 1400, 600 – 3rd Avenue S.W., Calgary, Alberta, T2P 0G5. Questions in respect of delivery of payment should be directed to the 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: Jeremy Smith (Financial Accountant) [Jeremy.Smith@auc.ab.ca](mailto:Jeremy.Smith@auc.ab.ca), and Greg Andrews (Investigator) [Greg.Andrews@auc.ab.ca](mailto:Greg.Andrews@auc.ab.ca).

### NOTICE

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

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

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

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

### SIGNATURE

|           |   |                |                      |
|-----------|---|----------------|----------------------|
| Signature |  | Signature Date | July 11, 2019        |
| Name      | Anders Renborg  | Title          | Director, Compliance |