

## NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2019		Payment Due Date: October 21, 2019	
MSA File Number	2019-178	<b>Specified Penalty Amount</b>	<b>\$500</b>
Registered Entity Name	TransAlta Corporation		
Asset ID (if applicable)	IEW2	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	201.7	Date of Contravention	November 11, 2018
Date of Referral/Self Report	April 26, 2019	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

On November 11, 2018 5 consecutive dispatches for IEW2 for 66 MW of energy were sent between 15:41 and 16:01 via the AESO's Automated Dispatch and Messaging System. Each of these dispatches was not acknowledged within the 2 minute time period. Subsection 5 'Acknowledging Dispatches' of ISO Rules Section 201.7 states, in part:

A pool participant must acknowledge receipt of a dispatch:

- (a) In the case of an automated message and unless the pool participant has notified the ISO of an unavailability in accordance with subsection 4(1)(a) by responding via the Automated Dispatch and Messaging System:
- (i) Within two (2) minutes for an intra-Alberta transaction;

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 201.7.

### MATERIAL FACTS

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

1. AESO dispatch and Available Capability restatement data for IEW2 for November 11, 2018.
2. AESO information request issued to TransAlta Corporation dated April 9, 2019.
3. TransAlta Corporation's response to the AESO information request dated April 23, 2019.
4. Referral from the AESO to the MSA dated April 26, 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	"Original signed"	Signature Date	September 13, 2019
Name	Anders Renborg	Title	Director, Compliance