

## NOTICE OF SPECIFIED PENALTY

Date of Issue: September 20, 2019		Payment Due Date: October 21, 2019	
MSA File Number	2019-245	<b>Specified Penalty Amount</b>	<b>\$500</b>
Registered Entity Name	Voltus Energy Canada Ltd.		
Asset ID (if applicable)	VOCG	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	201.3	Date of Contravention	November 16, 2018
Date of Referral/Self Report	June 7, 2019	This is the first contravention by this asset for this rule within a rolling 12 month period.	

### EVENT DETAILS

Voltus did not submit offer control information for VOCG within 30 day after the settlement intervals to which the offer control information applies. The VOCG "Calgary" asset did not submit offer control information for the day of November 16, 2018 within 30 days.

Section 201.3 of the ISO Rules states in part:

3 A pool participant must submit offer control information to the ISO no later than thirty (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 offer control information for VOCG for November 2018.
2. Referral from the AESO to the MSA dated June 7, 2019, and the associated documents which additionally include:
  - (a) AESO information request to Voltus Energy Canada Ltd., dated April 18, 2019.
  - (b) Voltus Energy Canada Ltd.'s response to the AESO information request, dated May 7, 2019.
3. Additional information memo submitted from Voltus to the MSA, dated June 28, 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 18, 2019
Name	Anders Renborg	Title	Director, Compliance