

## NOTICE OF SPECIFIED PENALTY

Date of Issue: March 23, 2020		Payment Due Date: April 24, 2020	
MSA File Number	2020-023	<b>Specified Penalty Amount</b>	<b>\$5,000</b>
Registered Entity Name	TransAlta Generation Partnership		
Asset ID (if applicable)	SD4	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	205.5	Date of Contravention	June 27, 2019
Date of Referral/Self Report	January 29, 2020	This is the third contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

### EVENT DETAILS

On June 27, 2019, at approximately 22:33:50, the SD4 generating asset received a directive to provide 70 MW of spinning reserve. From the first time SD4 achieved the required response to the time 15 minutes following receipt of the directive, SD4 did not provide an average response equal to or greater than the amount of real power set out in the directive. Section 205.5 of the ISO rules states in part:

10(2) A pool participant must ensure that, from the first time its pool asset achieves the response set out in subsection 10(1) to the time fifteen (15) minutes following receipt of the directive, the pool asset is providing an average response equal to or greater than the amount of real power set out in the directive.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 205.5 of the ISO rules.

### MATERIAL FACTS

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

1. AESO available capability, dispatch, generation and offer data for SD4 for June 27, 2019.
2. AESO information request issued to TransAlta Generation Partnership, dated December 3, 2019.
3. TransAlta Generation Partnership's response to the AESO information request, dated January 20, 2020.
4. Referral from the AESO to the MSA dated January 29, 2020.

### 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	March 23, 2020
Name	Andrew Wilkins	Title	Director, Compliance