

## NOTICE OF SPECIFIED PENALTY

Date of Issue: June 12, 2020		Payment Due Date: July 13, 2020	
MSA File Number	2020-093	<b>Specified Penalty Amount</b>	<b>\$500</b>
Registered Entity Name	AltaGas Ltd.		
Asset ID (if applicable)	HMT1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	201.7	Date of Contravention	September 23, 2019
Date of Referral/Self Report	April 2, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

### EVENT DETAILS

On September 23, 2019, during the HE 20 settlement interval, the HMT1 asset received three energy dispatches which it did not acknowledge receipt of within two minutes. Section 201.7 of the ISO rules states in part:

- 5 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 section 201.7 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 HMT1 for September 23, 2019.
  2. AESO information request issued to AltaGas Ltd., dated January 22, 2020.
  3. AltaGas Ltd.'s response to the AESO information request, dated January 29, 2020.
  4. Referral from the AESO to the MSA dated April 2, 2020.
  5. Revised referral from the AESO to the MSA dated May 28, 2020.

### DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made payable to the "General Revenue Fund c/o Minister of Finance", and delivered to Alberta Energy at: 9945 – 108 Street NW, Edmonton, Alberta, T5K 2G6. The payment should reference this Notice of Specified Penalty and related MSA File #. Electronic copies of the payment and confirmation of delivery should be sent by email to [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca) and [enforcement@auc.ab.ca](mailto:enforcement@auc.ab.ca). Questions can be directed to [compliance@albertamsa.ca](mailto:compliance@albertamsa.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	June 12, 2020
Name	Andrew Wilkins	Title	Director, Compliance