

NOTICE OF SPECIFIED PENALTY

Date of Issue August 5, 2020		Payment Due Date: September 4, 2020	
MSA File Number	2020-147	Specified Penalty Amount	\$500
Market Participant Name	Riverview Limited Partnership		
Asset ID (if applicable)	RIV1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	306.5	Date of Contravention	November 8 through 11, 2019 and December 13, 2019 through April 20, 2020
Date of Referral/Self Report	June 3, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

For several settlement intervals during the periods spanning from November 8 through 11, 2019 and December 13, 2019 through April 20, 2020, the RIV1 asset had a declared available capability of 105 MW. Information available to the MSA indicates that during this period, RIV1 was under construction and Riverview Limited Partnership did not meet the requirements outlined in subsection 3 of section 306.5 pertaining to the submission of outage information. Section 306.5 of the ISO rules states in part:

- 3(1) A pool participant must, in respect of any planned outage, submit to the ISO:
- (a) the dates, times, durations and impact to MW capability for the planned outage;
 - (b) the specific nature of the planned outage work to be done; and
 - (c) a designation of the planned outage as "Derate-Planned" or "Outage-Planned".

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 306.5 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 RIV1 for November 8 through 11, 2019 and December 13, 2019 through April 20, 2020.
 2. AESO information request issued to Riverview Limited Partnership dated May 11, 2020.
 3. Riverview Limited Partnership's response to the AESO information request dated May 22, 2020.
 4. Referral from the AESO to the MSA dated June 3, 2020.
 5. Additional information provided by Riverview Limited Partnership to the MSA dated July 8, 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 and enforcement@auc.ab.ca. Questions can be directed to 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.

SIGNATURE

Signature	"Original Signed"	Signature Date	August 5, 2020
Name	Andrew Wilkins	Title	Director, Compliance