

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 5, 2021		Payment Due Date: March 8, 2021	
MSA File Number	2020-344	Specified Penalty Amount	\$750
Market Participant Name	TransCanada Energy Sales Ltd.		
Asset ID (if applicable)	ESBC	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule Section	203.6	Date of Contravention	September 15, 2020
Date of Referral/Self Report	October 14, 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 15, 2020, at approximately 06:47, TransCanada Energy Sales Ltd. declared an import offer of 100 MW for the ESBC asset for the HE 10 settlement interval of the same day. Information available to the MSA indicates that the associated e-tags were never created. As a result, the e-tag submission requirements set out in section 203.6 of the ISO rules were not met. Section 203.6 of the ISO rules states, in part:

- 6(1) Pool participants with any import or export interchange transactions who have acquired transmission service must submit e-tags to the ISO for the interchange transactions.
- (2) The ISO must receive e-tags no later than twenty (20) minutes prior to the start of the settlement interval in order for the energy components of the interchange transactions to be included in an interchange schedule referenced in subsection 8.
- (3) A pool participant must submit one (1) or more e-tags for an energy interchange transaction such that the final total amount in MW agrees with the available capability of the single source asset:
- (a) as stated two (2) hours prior to the start of the settlement interval; or
 - (b) as may be restated in accordance with the provisions of this section 203.6, but in any event the final total amount in MW must not exceed the available capability of the single source asset as stated at two (2) hours prior to the start of the settlement interval.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 203.6 of the ISO rules.

MATERIAL FACTS

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

1. AESO available capability, offer, and interchange data for ESBC for September 15, 2020.
2. Self-report submitted by TransCanada Energy Sales Ltd. to the MSA dated October 14, 2020.
3. Additional information submitted by TransCanada Energy Sales Ltd. to the MSA dated December 1, 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	February 5, 2021
Name	Andrew Wilkins	Title	Director, Compliance