

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 28, 2021		Payment Due Date: March 1, 2021	
MSA File Number	2020-348	<b>Specified Penalty Amount</b>	<b>\$10,000</b>
Market Participant 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	April 8, 2020
Date of Referral/Self Report	October 16, 2020	This is the fifth contravention by this asset and the ninth contravention by this market participant for this section of the ISO rules within a rolling 12 month period.	
<b>EVENT DETAILS</b>			
<p>On April 8, 2020, at approximately 20:52:48, the SD4 asset received a directive to provide 35 MW of spinning reserve. Ten minutes following the directive, the increase in real power from SD4 was less than the directed amount. Section 205.5 of the ISO rules states in part:</p> <p style="padding-left: 40px;">10(1) A pool participant must, within ten (10) minutes following receipt of a directive to provide spinning reserve, ensure that its pool asset is providing a quantity of real power equal to the instantaneous amount of real power of the pool asset at the time of the directive and the amount of real power set out in the directive.</p>			
<b>FINDINGS</b>			
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.			
<b>MATERIAL FACTS</b>			
<p>The material facts relied upon by the MSA include the following:</p> <ol style="list-style-type: none"> <li>1. AESO available capability, dispatch, generation and offer data for SD4 for April 8, 2020.</li> <li>2. AESO information request issued to TransAlta Generation Partnership, dated September 10, 2020.</li> <li>3. Referral from the AESO to the MSA dated October 16, 2020.</li> </ol>			
<b>DELIVERY OF PAYMENT</b>			
<p>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 <a href="mailto:compliance@albertamsa.ca">compliance@albertamsa.ca</a> and <a href="mailto:enforcement@auc.ab.ca">enforcement@auc.ab.ca</a>. Questions can be directed to <a href="mailto:compliance@albertamsa.ca">compliance@albertamsa.ca</a>.</p>			
<b>NOTICE</b>			
<p>The Market Surveillance Administrator (MSA) is granted the power and authority under s. 52 of the <i>Alberta Utilities Commission Act</i> 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.</p> <p>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.</p> <p>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.</p> <p>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 <a href="mailto:compliance@albertamsa.ca">compliance@albertamsa.ca</a>.</p>			
<b>SIGNATURE</b>			
Signature	"Original Signed"	Signature Date	January 28, 2021
Name	Andrew Wilkins	Title	Director, Compliance