

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 5, 2021		Payment Due Date: March 8, 2021	
MSA File Number	2020-380	Specified Penalty Amount	\$500
Market Participant Name	TransAlta Generation Partnership		
Asset ID (if applicable)	KH3	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	201.3	Date of Contravention	June 26 to September 23, 2020
Date of Referral/Self Report	November 12, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

Between June 26 and September 23, 2020 TransAlta Generation Partnership (TransAlta) did not submit offer control information for spinning and supplemental reserve offers associated with the KH3 source asset. Therefore, TransAlta did not meet offer control requirements set out in section 201.3 of the ISO rules, which states, in part:

- 2(1) A pool participant who submits:
- (a) an offer; or
 - (b) a bid for an export interchange transaction must also submit to the ISO the offer control information in accordance with subsection 2(2).
- (2) A pool participant must submit offer control information:
- (a) for a final offer or bid that has a quantity greater than zero (0) MW;
 - (b) for each settlement interval, subsequent to any restatements or pool asset substitutions made prior to or during the settlement interval;
 - (c) in the case of energy or dispatch down service, for each operating block that is available to receive a dispatch; and
 - (d) in the case of operating reserve, for all offers or bids which the ISO accepts.
- 3 A pool participant must submit offer control information to the ISO no later than thirty (30) days after the settlement interval to which the offer control information applies.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 201.3 of the ISO rules.

MATERIAL FACTS

- The material facts relied upon by the MSA include the following:
1. AESO offer data for KH3 for June 26 through September 23, 2020.
 2. AESO information request issued to TransAlta Generation Partnership, dated October 2, 2020.
 3. TransAlta Generation Partnership's response to the AESO information request, dated October 27, 2020.
 4. Referral from the AESO to the MSA dated November 12, 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