

## NOTICE OF SPECIFIED PENALTY

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|--|----------------------------------|---|---|
| Date of Issue: March 31, 2021  |                                  | Payment Due Date: May 3, 2021   |   |
| MSA File Number  | 2020-416                         | <b>Specified Penalty Amount</b>   | <b>\$500</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   | 103.12                           | Date of Contravention   | October 1, 2020   |
| Date of Referral/Self Report   | December 3, 2020                 | This is the first contravention by this asset for this section of the ISO rules within a rolling 12-month period. |   |
| <b>EVENT DETAILS</b>   |                                  |   |   |
| <p>On September 10, 2020, the AESO, acting in its role as compliance monitor, contacted TransAlta Generations Partnership (TransAlta) via email about an event relating to TransAlta's SD4 generating asset's compliance with the ISO rules. The AESO specified in this written information request addressed to TransAlta that the deadline to reply was October 1, 2020. The AESO did not receive a response to its written information request by October 1, 2020. Section 103.12 of the ISO rules states in part:</p> <p style="padding-left: 40px;">5 A market participant that receives a request pursuant to subsection 4(1) must provide the ISO with all information that the ISO requests and must do so in the time period set out in the request.</p>  |                                  |   |   |
| <b>FINDINGS</b>  |                                  |   |   |
| Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 103.12 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 information request issued to TransAlta Generation Partnership, dated September 10, 2020.</li> <li>2. AESO information request issued to TransAlta Generation Partnership, dated November 23, 2020.</li> <li>3. TransAlta Generation Partnership's response to the AESO information request, dated November 23, 2020.</li> <li>4. Referral from the AESO to the MSA dated December 3, 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  | March 31, 2021  |
| Name   | Andrew Wilkins                   | Title   | Director, Compliance  |