

## NOTICE OF SPECIFIED PENALTY

|                                   |                                 |   |   |
|-----------------------------------|---------------------------------|---|---|
| Date of Issue: September 29, 2021 |                                 | Payment Due Date: November 1, 2021  |   |
| MSA File Number                   | 2021-024                        | <b>Specified Penalty Amount</b>   | <b>\$500</b>  |
| Market Participant Name           | ENMAX Generation Portfolio Inc. |   |   |
| Asset ID (if applicable)          | CRS1                            | Self-Report   | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule Section                  | 203.1                           | Date of Contravention   | July 29, 2020   |
| Date of Referral/Self Report      | January 26, 2021                | This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period. |   |

### EVENT DETAILS

On July 29, 2020, the CRS1 generating asset submitted energy offers declaring a minimum stable generation of 5 MW. Information available to the MSA indicates that this declaration was not accurate. Section 203.1 of the ISO rules states, in part:

3(3) A pool participant must include in each operating block in an offer;

(a) a price in \$/MWh to the nearest cent per MWh which:

(i) in the case of source asset that is not an import asset, is greater than or equal to zero dollars (\$0) per MWh and less than one thousand dollars (\$1000) per MWh; and

(ii) in the case of an import, is zero dollars (\$0);

(b) a quantity in MW; and

(c) an indication of whether the operating block is a flexible block or an inflexible block; and

must also include in the offer the minimum stable generation for the source asset.

### FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 203.1 of the ISO rules.

### MATERIAL FACTS

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

1. AESO available capability, dispatch, and offer data for CRS1 for July 29, 2020.
2. AESO information request issued to ENMAX Generation Portfolio Inc., dated December 3, 2020.
3. ENMAX Generation Portfolio Inc.'s response to the AESO information request, dated December 17, 2020.
4. Referral from the AESO to the MSA dated January 26, 2021.
5. Additional information provided by ENMAX Generation Portfolio Inc. to the MSA dated May 5, May 21, May 25, June 8, and July 14, 2021.

### 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](mailto:compliance@albertamsa.ca) and [enforcement@auc.ab.ca](mailto:enforcement@auc.ab.ca). Questions can be directed to [compliance@albertamsa.ca](mailto: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](mailto:compliance@albertamsa.ca).

## SIGNATURE

|           |                   |                |                      |
|-----------|-------------------|----------------|----------------------|
| Signature | "Original Signed" | Signature Date | September 29, 2021   |
| Name      | Andrew Wilkins    | Title          | Director, Compliance |