

NOTICE OF SPECIFIED PENALTY

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| Date of Issue: February 8, 2024 | | Payment Due Date: March 9, 2024 | |
| MSA File Number | 2023-242 | Specified Penalty Amount | \$500 |
| Market Participant Name | Lanfine Wind 1 LP | | |
| Asset ID (if applicable) | LAN1 | Self-Report | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO |
| ISO Rule Section | 306.5 | Date of Contravention | November 14, 2022 |
| Date of Referral/Self Report | June 9, 2023 | This is the first contravention by this asset for this section of the ISO rules within a rolling 12-month period. | |

MSA FINDINGS

On October 17, 2022, Kneehill Solar LP submitted commissioning plan to the AESO. The commissioning plan indicated a gradual increase in the available capability (AC) of the LAN1 asset beginning on November 21, 2022. Information available to the MSA indicates that for various dates the AC was not updated in the Energy Trading System (ETS) or not updated in the ETS as soon as reasonably practicable to reflect planned commissioning activities.

Section 306.5 of the ISO rules states, in part:

2(1) A pool participant must, for any outage that results or will result in a change in available capability of 5 MW or greater, comply with the notification requirements set forth in subsections 3, 4 or 5, as applicable.

[...]

(3) A pool participant must submit information required to be provided to the ISO pursuant to this Section 306.5 via the Energy Trading System.

3(1) A pool participant must, in respect of any planned outage, submit to the ISO:
 (a) the dates, times, durations and impact to MW capability for the planned outage;
 (b) the specific nature of the planned outage work to be done; and
 (c) a designation of the planned outage as "Derate-Planned" or "Outage-Planned".

(2) A pool participant must, by the first (1st) day of every month after the date of energization, submit the information set out in subsection 3(1) to the ISO related to planned outages that, as of the time of the submission, are planned to occur at any time within the next 24 months.

(3) A pool participant must, with respect to:
 (a) any revisions to the information submitted to the ISO under subsection 3(1); or
 (b) a planned outage that is not included in the submission set out in subsection 3(2);
 submit such information or planned outage as soon as reasonably practicable.

(4) A pool participant must, if information submitted under subsection 3(3) is submitted later than 3 months prior to the day the planned outage is to start, include a statement in its submission setting out the reasons that the information varies from the original subsection 3(1) submission or was not included in the submission set out in subsection 3(2).

The MSA is satisfied that the conduct was a contravention of section 306.5 of the ISO rules.

DELIVERY OF PAYMENT

Payment can be made by electronic funds transfer (EFT). Please reach out to compliance@albertamsa.ca for instructions. When submitting the EFT, please send an email to AU.FinOps@gov.ab.ca, compliance@albertamsa.ca and enforcement@auc.ab.ca noting the dollar amount, date of the EFT, market participant name and the MSA File #. 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.

APPROVED BY

Mark Nesbitt, Director, Enforcement on February 7, 2024.