

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 24, 2024		Payment Due Date: July 24, 2024	
MSA File Number	2023-337	Specified Penalty Amount	\$500
Market Participant Name	Castle Rock Ridge LP		
Asset ID (if applicable)	CRR1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	203.4	Date of Contravention	January 11, 2023
Date of Referral/Self Report	August 3, 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 January 11, 2023, at approximately 12:50PM, the CRR1 asset experienced an operational deviation that lasted for more than 20 minutes; however, an available capacity restatement was not submitted. Section 203.4 of the ISO rules states in part:

- 5(1) A pool participant must, if a generating source asset experiences an operational deviation, verbally inform the ISO as soon as practical of the occurrence of the operational deviation and provide a description of the cause if known.
- (2) A pool participant must inform the ISO of the information required under subsection 5(1) on a telephone line the ISO designates, which must contain a voice recording system.
- (3) A pool participant must, if an operational deviation extends for 20 minutes or longer, submit an available capability restatement or MW restatement for the generating source asset that represents the operational capability of the generating source asset and must do so no later than 20 minutes after the commencement of the operational deviation.

The MSA is satisfied that the event was a contravention of section 203.4 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 MSA file #, market participant name, name as appears on bank account, payment amount and the date of the payment. 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 June 21, 2024