

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 10, 2024		Payment Due Date: May 10, 2024	
MSA File Number	2023-399	Specified Penalty Amount	\$250
Market Participant Name	Signalta Resources Limited		
Asset ID (if applicable)	COD1	Self-Report	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
ISO Rule Section	201.3	Date of Contravention	June 17, 2023
Date of Referral/Self Report	September 27, 2023	This is the first contravention by this asset for this section of the ISO rules within a rolling 12-month period.	

MSA FINDINGS

Signalta Resources Limited did not submit offer control information for the COD1 asset within 30 days after the settlement interval to which the offer control information applied for each settlement interval between June 17 to July 11, 2023 and July 13 to September 19, 2023.

Section 201.3 of the ISO rules states, in part:

2(1) A pool participant that 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 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. Deadline for Submitting Offer Control Information

3 A pool participant must submit offer control information to the ISO no later than 30 days after the settlement interval to which the offer control information applies.

The MSA is satisfied that the conduct was a contravention of section 201.3 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 April 8, 2024

