

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 28, 2025		Payment Due Date: August 28, 2025	
MSA File Number	2025-172	Specified Penalty Amount	\$500
Market Participant Name	TransAlta Corporation		
Asset ID (if applicable)	CRE3	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	502.8	Date of Contravention	March 21, 2024
Date of Referral/Self Report	May 1, 2025	This is the first contravention by this asset for this section of the ISO rules within a rolling 12-month period.	

MSA FINDINGS

On March 13, 2024, at approximately 15:00, the CRE3 asset stopped reporting net generation values. As of 00:00 on March 21, 2024, CRE3's net generation values had been unavailable for more than 175.2 hours throughout 2024.

Section 502.8 of the ISO rules states, in part:

- (1) Subject to subsection 3(3), the provisions of this Section 502.8 do not apply to the legal owner of a generating unit, aggregated generating facility, transmission facility, or a load that was energized and commissioned prior to April 7, 2017 in accordance with a previous technical requirement, technical standard, ISO rule or functional specification, but the legal owner of such an existing generating unit, aggregated generating facility, transmission facility, or a load must remain compliant with all the standards and requirements set out in that previous technical requirement, technical standard, ISO rule or functional specification.

The applicable SCADA standard for the CRE3 asset was determined to be Technical Standard 003.1 of the ISO rules, Electric Facility Data and Communications for the Alberta Control Area (Standard 003.1). Subsection 5.4 Real-time data requirements - visibility levels of Technical Standard 003.1 states:

Real-time data requirements for monitoring aspects of the security of the power systems in the Alberta Control Area are categorized into two visibility levels. The visibility level associated with each facility depends on the individual facility parameters (see Table 2).

Table 2 states that a facility with a capability greater than 5 MW but less than 50 MW must have a 'Basic' visibility level. Table 7 of the same standard states that 'Basic' visibility requires 98% availability, or a maximum of 175.2 hours of unavailability per year.

The MSA is satisfied that the conduct was a contravention of section 502.8 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
Derek Olmstead, Administrator and CEO, on July 25, 2025

NOTICE OF SPECIFIED PENALTY

Date of Issue: July 28, 2025		Payment Due Date: August 28, 2025	
MSA File Number	2025-172	Specified Penalty Amount	\$1,500
Market Participant Name	TransAlta Corporation		
Asset ID (if applicable)	CRE3	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	502.8	Date of Contravention	January 8, 2025
Date of Referral/Self Report	May 1, 2025	This is the second contravention by this asset for this section of the ISO rules within a rolling 12-month period.	

MSA FINDINGS

Information available to the MSA indicates that between January 1, 2025, and May 31, 2025, the CRE3 asset has not been reporting its net generation values to the ISO. As of 00:00 on January 8, 2025, CRE3's net generation values had been unavailable for more than 175.2 hours throughout 2025. Section 502.8 of the ISO rules states, in part:

- (1) Subject to subsection 3(3), the provisions of this Section 502.8 do not apply to the legal owner of a generating unit, aggregated generating facility, transmission facility, or a load that was energized and commissioned prior to April 7, 2017 in accordance with a previous technical requirement, technical standard, ISO rule or functional specification, but the legal owner of such an existing generating unit, aggregated generating facility, transmission facility, or a load must remain compliant with all the standards and requirements set out in that previous technical requirement, technical standard, ISO rule or functional specification.

The applicable SCADA standard for the CRE3 asset was determined to be Technical Standard 003.1 of the ISO rules, Electric Facility Data and Communications for the Alberta Control Area (Standard 003.1). Subsection 5.4 Real-time data requirements - visibility levels of Technical Standard 003.1 states:

Real-time data requirements for monitoring aspects of the security of the power systems in the Alberta Control Area are categorized into two visibility levels. The visibility level associated with each facility depends on the individual facility parameters (see Table 2).

Table 2 states that a facility with a capability greater than 5 MW but less than 50 MW must have a 'Basic' visibility level. Table 7 of the same standard states that 'Basic' visibility requires 98% availability, or a maximum of 175.2 hours of unavailability.

The MSA is satisfied that the conduct was a contravention of section 502.8 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

Derek Olmstead, Administrator and CEO,

