

NOTICE OF SPECIFIED PENALTY

Date of Issue: April 18, 2017		Payment Due Date: May 18, 2017	
MSA File Number	2017-085	Specified Penalty Amount	\$500
Registered Entity Name	TransAlta Corporation		
Asset ID (if applicable)	GWW1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	304.3	Date of Contravention	November 14, 2016
Date of Referral/Self Report	March 2, 2017	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On November 14, 2016 at approximately 15:29, GWW1 received a wind power limited pro rata share directive not to exceed 39 MW however, GWW1 generated above this directive limit from approximately 15:29 until a new directive was issued at approximately 15:49. ISO rule 304.3 indicates that a non-exempt wind aggregated generating facility must comply with a wind power limit pro rata share directive no later than ten minutes after the ISO sent the signal.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO Rule 304.3.

MATERIAL FACTS

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

1. AESO generation and SCADA directive data for GWW1 for November 14, 2016.
2. AESO information request issued to TransAlta Corporation dated February 6, 2017.
3. TransAlta Corporation's response to the AESO information request dated February 27, 2017.
4. Referral from the AESO to the MSA dated March 2, 2017.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made out to the "General Revenue Fund c/o Minister of Finance", and delivered to the Alberta Utilities Commission (AUC) at: 4th Floor, 425 - 1st Street S.W., Calgary, Alberta, T2P 3L8. Questions in respect of delivery of payment should be addressed to the Director of Finance, AUC. The payment should reference this notice and related MSA File #. Delivery of payment should also be confirmed by email to compliance@albertamsa.ca, with copy to the following AUC personnel: Jeremy Smith (Financial Accountant) jeremy.smith@auc.ab.ca, and Greg Andrews (Investigator) greg.andrews@auc.ab.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.

SIGNATURE

Signature	"Original Signed"	Signature Date	April 18, 2017
Name	Doug Doll	Title	Director, Compliance and Corporate Services