

NOTICE OF SPECIFIED PENALTY

Date of Issue: November 19, 2019		Payment Due Date: December 19, 2019	
MSA File Number	2019-378	Specified Penalty Amount	\$500
Registered Entity Name	Air Liquide Canada Inc.		
Asset ID (if applicable)	ALS1	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	201.3	Date of Contravention	January 15, 2019
Date of Referral/Self Report	August 23, 2019	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

Air Liquide Canada Inc. did not submit offer control information for the Dispatch Down Service (DDS) offers submitted on its ALS1 asset for settlement intervals HE 12 through HE 24 of January 15, 2019 within 30 days. Section 201.3 of the ISO Rules states in part:

2(1) A pool participant who 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 zero (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.

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

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 201.3.

MATERIAL FACTS

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

1. AESO DDS offers and offer control data for ALS1 for January 15, 2019.
2. AESO information request issued to Air Liquide Canada Inc., dated July 11, 2019.
3. Air Liquide Canada Inc.'s response to the AESO information request, dated July 22, 2019.
4. Referral from the AESO to the MSA dated August 23, 2019.

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: 1400, 600 – 3rd Avenue S.W., Calgary, Alberta, T2P 0G5. Questions in respect of delivery of payment should be directed to the 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	November 19, 2019
Name	Andrew Wilkins	Title	Director, Compliance