

NOTICE OF SPECIFIED PENALTY

Date of Issue: December 23, 2020		Payment Due Date: January 29, 2021	
MSA File Number	2020-330	Specified Penalty Amount	\$500
Market Participant Name	TransAlta Generation Partnership		
Asset ID (if applicable)	SD4	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule Section	505.4	Date of Contravention	October 11, November 25 and December 2, 2019
Date of Referral/Self Report	September 30, 2020	This is the first contravention by this asset for this section of the ISO rules within a rolling 12 month period.	

EVENT DETAILS

Information available to the MSA indicates that testing for the SD4 asset was scheduled to occur on October 11, November 25 and December 2, 2019. However, information available to the MSA indicates that the AESO was not verbally notified with respect to suspensions and amendments of these tests in accordance with section 505.4. Section 505.4 of the ISO rules states in part:

- 4(2) Each of the legal owner of a generating unit and the legal owner of an aggregated generating facility may suspend its operational testing activities by giving verbal notice to the ISO.
 (3) Each of the legal owner of a generating unit and the legal owner of an aggregated generating facility may amend its operational testing activities by making a verbal request to the ISO and obtaining verbal approval from the ISO.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of section 505.4 of the ISO rules.

MATERIAL FACTS

- The material facts relied upon by the MSA include the following:
1. AESO available capability and offer data for SD4 for October 11, November 25 and December 2, 2019.
 2. AESO information request issued to TransAlta Generation Partnership, dated May 19, 2020.
 3. TransAlta Generation Partnership's response to the AESO information request, dated June 16, 2020.
 4. Referral from the AESO to the MSA, dated September 30, 2020.

DELIVERY OF PAYMENT

Payment by cheque or certified funds is to be made payable to the "General Revenue Fund c/o Minister of Finance", and delivered to Alberta Energy at: 9945 – 108 Street NW, Edmonton, Alberta, T5K 2G6. The payment should reference this Notice of Specified Penalty and related MSA File #. Electronic copies of the payment and confirmation of delivery should be sent by email to compliance@albertamsa.ca and enforcement@auc.ab.ca. 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.

SIGNATURE

Signature	"Original Signed"	Signature Date	December 23, 2020
Name	Andrew Wilkins	Title	Director, Compliance