

NOTICE OF SPECIFIED PENALTY

Date of Issue: February 19, 2019		Payment Due Date: March 21, 2019	
MSA File Number	2018-477	Specified Penalty Amount	\$1,500
Registered Entity Name	TransAlta Generation Partnership		
Asset ID (if applicable)	SD4	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
ISO Rule	203.3	Date of Contravention	August 1, 2018
Date of Referral/Self Report	December 20, 2018	This is the first contravention by this asset for this rule within a rolling 12 month period.	

EVENT DETAILS

On August 1, 2018 at approximately 15:47, a minimum stable generation (MSG) restatement was made for the SD4 generating asset reducing the MSG from 200 MW to 150 MW for the hour ending (HE) 16 and 17 settlement intervals on the same date. Concurrently, MW restatements were submitted for the same settlement intervals resulting in the movement of 50 MW from operating block 0 into operating block 1. Subsection 5(2) of section 203.3 of the ISO rules states:

If the restated minimum stable generation:

- (a) is lower than the previously submitted minimum stable generation; and
- (b) the restatement is submitted within two (2) hours of the start of the settlement interval,

then the pool participant is prohibited from restating the MW of the operating block with the lowest offer price for the source asset.

FINDINGS

Based upon the information obtained by the MSA, the MSA is satisfied that the event was a contravention of ISO rule 203.3.

MATERIAL FACTS

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

1. AESO minimum stable generation and energy offer data for SD4 for August 1, 2018.
2. AESO information request issued to TransAlta Generation Partnership dated December 4, 2018.
3. TransAlta Generation Partnership's response to the AESO information request dated December 18, 2018.
4. Referral from the AESO to the MSA dated December 20, 2018.

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	February 19, 2019
Name	Doug Doll	Title	Director, Corporate Services and Compliance