

**2023 Rules of Conduct Penalties Informational Report**

The following is an informational report required by CAISO Tariff Section 37.9.4 Disposition of Proceeds providing information about the financial Sanctions assessed for the calendar year, including the number of violations and total financial Sanctions assessed for each category of Rules of Conduct violation.

<b>Tariff Section</b>	<b>2023 Violation Events</b>	<b>2023 Number of Trade Dates</b>	<b>2023 Sanctions Levied</b>	<b>Notes</b>
<b>37.4 Comply with Availability Reporting Requirements</b>				
37.4.1 (Reporting Availability)	-		\$0.00	
37.4.2 (Scheduling And Final Approval Of Outages)	-		\$0.00	
<b>37.5 Accurate and Timely SQMD</b>				
37.5.2.1.1 (Inaccurate Meter Data)	42	2,992	\$226,000.00	3 violations unsuccessfully appealed, 15 violations with sanctions successfully appealed (violations not excused) for a total of \$2,195,000.00 returned to Scheduling Coordinators
37.5.2.1.2 (Late Meter Data)	19	38	\$38,000.00	
37.5.2.1.3 (Missing Meter Data)	-	-	\$0.00	
<b>37.6 Provide Information Required By CAISO Tariff</b>				
37.6.1 (Required Information Generally)				
Late Reliability Requirements - RA & Supply Plans	18		\$41,500.00	
Late Generator Modeling Data	-		\$0.00	
Late Telemetry Compliance	103		\$887,000.00	2 violations unsuccessfully appealed to FERC
Late Masterfile Resource Characteristics	-		\$0.00	
Late Flex RA Survey	1		\$1,000.00	
Late SQMD Plan Affirmation	3		\$1,500.00	
37.6.2 (Investigation Information)				
Late Forced Outage Report Response	1		\$2,000.00	
37.6.3 (Late Audit Materials)	1		\$1,000.00	
	<b>188</b>	<b>3,030</b>	<b>\$1,198,000.00</b>	