

NOTICE OF SPECIFIED PENALTY

Date of Issue: May 25, 2026		Payment Due Date: June 25, 2026	
MSA File Number	RS2025-094	Specified Penalty Amount¹	\$1,500.00
Market Participant Name:	TransAlta Corporation		
Reliability Standard	COM-002-AB-4	Self-Report	Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/>
Requirement	R2	Accepted Mitigation Plan	Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/>
Date of Referral / Self Report	June 17, 2025	Date of Contravention:	April 01, 2024 - July 21, 2025

MSA FINDINGS

Requirements R2 and R3 of COM-002-AB-4 state:

R2 The ISO and each operator of a transmission facility shall conduct initial training for each of its operating personnel responsible for the real-time operation of the interconnected electric system on the documented communications protocols developed in accordance with requirement R1 prior to that individual operator issuing an operating instruction, including directives.

R3 Each operator of an electric distribution system, operator of a generating unit, and the operator of an aggregated generating facility shall conduct initial training for each of its operating personnel who can receive an oral two-party, person-to-person operating instruction prior to that individual operator receiving an oral two-party, person-to-person operating instruction, including directives, to either: (a) repeat, not necessarily verbatim, the operating instruction and receive confirmation from the issuer that the response was correct; or (b) request that the issuer reissue the operating instruction.

The MSA is satisfied that a contravention of Requirements R2 and R3 of COM-002-AB-4 occurred between April 1, 2024, and July 21, 2025, due to one operating personnel not being trained in accordance with the specified requirements.

The MSA assessed this contravention as Lower severity.

DELIVERY OF PAYMENT

Payment can be made by electronic funds transfer (EFT). Please reach out to compliance@albertamsa.ca (<mailto:compliance@albertamsa.ca>) for instructions. When submitting the EFT, please send an email to AU.FinOps@gov.ab.ca (<mailto:AU.FinOps@gov.ab.ca>), compliance@albertamsa.ca (<mailto:compliance@albertamsa.ca>) and enforcement@auc.ab.ca (<mailto:enforcement@auc.ab.ca>) noting the MSA file #, market participant name, name as appears on bank account, payment amount and the date of the payment. Questions can be directed to compliance@albertamsa.ca (<mailto: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 Alberta Reliability Standard. Specified penalties are set out in AUC Rule 027.

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 027 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 unless it qualifies for the public reporting exception for critical infrastructure protection (CIP) contraventions in s. 5.3 of AUC Rule 027. 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 (<mailto:compliance@albertamsa.ca>).

APPROVED BY

Daniela Cismaru, Advisor, Alberta Reliability Standards on May 22, 2026

¹Specified penalty amount conditional on the completion of the accepted Mitigation Plan.