

NOTICE OF SPECIFIED PENALTY

Date of Issue: June 08, 2026		Payment Due Date: July 08, 2026	
MSA File Number	RS2025-102	Specified Penalty Amount¹	\$2,500.00
Market Participant Name:	Heartland Generation Ltd.		
Reliability Standard	COM-002-AB-4	Self-Report	Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/>
Requirement	R4	Accepted Mitigation Plan	Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/>
Date of Referral / Self Report	June 23, 2025	Date of Contravention:	April 01, 2025 - September 15, 2025

MSA FINDINGS

Requirements R4.1 and R4.2 of COM-002-AB-4 state:

R4 The ISO and each operator of a transmission facility shall at least once every 12 months:

R4.1 assess adherence to the documented communications protocols in requirement R1 by its operating personnel that issue or receive operating instructions, including directives, provide feedback to those operating personnel, and take corrective action, as deemed appropriate by the entity, to address deviations from the documented protocols; and

R4.2 assess the effectiveness of its documented communications protocols in requirement R1 for its operating personnel that issue or receive operating instructions, include directives, and modify its documented communication protocols, as necessary.

Based on the information provided by Heartland Generation Ltd., the MSA is satisfied that Heartland Generation Ltd. contravened Requirements R4 of COM-002-AB-4 during the period of April 1, 2025, to September 15, 2025, as the assessments required under R4.1 and R4.2 were not completed at least once every 12 months.

The MSA assessed this contravention as a Lower severity.

The mitigation plan provided by Heartland Generation Ltd. was accepted as the actions correct the contravention and are intended to prevent recurrence of the root cause.

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 June 08, 2026

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