

## NOTICE OF SPECIFIED PENALTY

|                                |                                  |                                             |                                                                       |
|--------------------------------|----------------------------------|---------------------------------------------|-----------------------------------------------------------------------|
| Date of Issue: June 02, 2026   |                                  | Payment Due Date: July 02, 2026             |                                                                       |
| MSA File Number                | RS2025-164                       | <b>Specified Penalty Amount<sup>1</sup></b> | <b>\$2,500.00</b>                                                     |
| Market Participant Name:       | Alberta Electric System Operator |                                             |                                                                       |
| Reliability Standard           | PER-004-AB-2                     | Self-Report                                 | Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/> |
| Requirement                    | R1                               | Accepted Mitigation Plan                    | Yes: <input checked="" type="checkbox"/> No: <input type="checkbox"/> |
| Date of Referral / Self Report | July 17, 2025                    | Date of Contravention:                      | January 10, 2024 - July 09, 2025                                      |

### MSA FINDINGS

Alberta Reliability Standard PER-004-AB-2 R1 states:

R1 The ISO must be staffed with adequately trained operating personnel, each possessing a valid NERC Reliability Operator certificate, 24 hours per day, seven days per week.

The AESO could not demonstrate compliance with their established requirements for adequately trained operating personnel from January 10, 2024, to July 9, 2025 as there was not documentation of competency verification for all common task for four system controllers during this time period.

The MSA is satisfied the Alberta Electric System Operator (AESO) contravened PER-004-AB-2 requirement R1.

### DELIVERY OF PAYMENT

Payment can be made by electronic funds transfer (EFT). Please reach out to [compliance@albertamsa.ca](mailto: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) (<mailto:AU.FinOps@gov.ab.ca>), [compliance@albertamsa.ca](mailto:compliance@albertamsa.ca) (<mailto:compliance@albertamsa.ca>) and [enforcement@auc.ab.ca](mailto: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) (<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) (<mailto:compliance@albertamsa.ca>).

### APPROVED BY

Johanne Poirier Mouallem, Advisor, Alberta Reliability Standards on May 28, 2026

<sup>1</sup>Specified penalty amount conditional on the completion of the accepted Mitigation Plan.