

## NOTICE OF SPECIFIED PENALTY

Date of Issue: January 30, 2026		Payment Due Date: March 2, 2026	
MSA File Number	RS2025-223	<b>Specified Penalty Amount</b>	<b>\$ 3,750</b>
Market Participant Name	Alberta Electric System Operator		
Reliability Standard	COM-002-AB-4	Self-Report	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Requirement	R4	Accepted Mitigation Plan	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Date of Referral	December 4, 2025	Date of Contravention	April 1, 2024

### MSA FINDINGS

Requirement R4 of COM-002-AB-4 states:

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.

The Western Electricity Coordinating Council (WECC) conducted a compliance audit of the AESO. The applicable audit period with respect COM-002-AB-4 R4 was from April 1, 2024 to June 10, 2025.

For four instances, on April 3, April 10, April 13 and April 19, 2024, when operating personnel did not adhere to the AESO documented protocol, the AESO did not have documented evidence that feedback was provided to those operating personnel, and corrective action taken, to address deviations from the documented protocols, as per R4.1.

The MSA is satisfied that the conduct was a contravention of reliability standard COM-002-AB-4 requirement R4.1 from April 1, 2024, to June 10, 2025.

The MSA and has determined the Severity of this contravention as a 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. 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

Johanne Poirier Mouallem, Advisor, Alberta Reliability Standards, on January 30, 2026

