

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 08, 2026		Payment Due Date: October 08, 2026	
MSA File Number	RS2026-021	Specified Penalty Amount ¹	\$7,500.00
Market Participant Name:	Pembina NGL Corporation		
Reliability Standard	COM-001-AB-3	Self-Report	Yes: ☒ No: ☐
Requirement	R4	Accepted Mitigation Plan	Yes: ☒ No: ☐
Date of Referral / Self Report	January 26, 2026	Date of Contravention:	April 01, 2024 - May 20, 2026

MSA FINDINGS

COM-001-AB-3 R4.A1 states:

R4 Each operator of a transmission facility shall designate a backup voice communication capability with the following entities:

- (a) the ISO;
- (b) each adjacent operator of a transmission facility that is directly connected to its transmission facility
- (c) each operator of an electric distribution system that is directly connected to its transmission facility;
- (d) each operator of a generating unit that is part of the bulk electric system and is directly connected to its transmission facility;
- (e) each operator of an aggregated generating facility that is part of the bulk electric system and is directly connected to its transmission facility; and
- (f) each adjacent interconnected transmission operator that is directly connected to its transmission facility.

R4.A1 Each operator of a transmission facility shall have the type of backup voice communication capability, in each control room, as identified in:

- a) Appendix 1 for communicating with the ISO; and
- b) Appendix 2 for communicating with each entity specified in requirement R4.

The MSA is satisfied Pembina NGL Corporation contravened R4.1.1 COM-001-AB-3 R4.A1 from April 1, 2024, to May 20, 2026, as they did not have an approved back up voice communication required as per Appendix 2 of the reliability standard.

The MSA assessed the severity level as High, in consideration of the duration of the contravention.

The MSA accepted the mitigation plan provided in relation to this matter.

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

Johanne Poirier Mouallem, Advisor, Alberta Reliability Standards on September 08, 2026

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