

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 09, 2026		Payment Due Date: October 09, 2026	
MSA File Number	RS2026-023	Specified Penalty Amount¹	\$3,500.00
Market Participant Name:	Pembina NGL Corporation		
Reliability Standard	PER-006-AB-1	Self-Report	Yes: ☒ No: ☐
Requirement	R1	Accepted Mitigation Plan	Yes: ☒ No: ☐
Date of Referral / Self Report	January 26, 2026	Date of Contravention:	July 01, 2023 - August 14, 2024

MSA FINDINGS

PER-006-AB-1 R1 states:

R1 Each operator of a generating unit or operator of an aggregated generating facility must provide training to personnel identified in the Applicability section on the operational functionality of protection systems and remedial action schemes that affect the output of a generating unit or an aggregated generating facility it operates.

The MSA is satisfied the Pembina NGL Corporation contravened PER-006-AB-1 Requirement R1, as they had a total of nine of 57 personnel did not receive the required training. The contravention periods for each personnel varied between the period starting from July 1, 2023, to August 14, 2024, when the training was completed for all applicable personnel.

The MSA assessed a High severity based on the total number of personnel who did not receive the required training.

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.