

NOTICE OF SPECIFIED PENALTY

Date of Issue: August 17, 2026		Payment Due Date: September 17, 2026	
MSA File Number	RS2026-024	Specified Penalty Amount	\$5,000.00
Market Participant Name:	FortisAlberta Inc.		
Reliability Standard	COM-001-AB-3	Self-Report	Yes: ☐ No: ☒
Requirement	R9	Accepted Mitigation Plan	Yes: ☐ No: ☒
Date of Referral / Self Report	January 26, 2026	Date of Contravention:	May 01, 2024 - November 30, 2024

MSA FINDINGS

Requirement R9 of COM-001-AB-3 states

R9 Each Responsible Entity shall test its backup voice communication capability, as specified in Appendix 1, Appendix 2, and Appendix 3, at least once each month. If the test is unsuccessful, the Responsible Entity shall initiate action to repair or designate a temporary replacement backup voice communication capability within 2 hours of the unsuccessful test.

Based on the information provided by the AESO, the Market Surveillance Administrator is satisfied that Fortis Alberta Inc. contravened Requirement R9 of COM-001-AB-3 during May 2024, July 2024, September 2024, and November 2024 as its backup voice communication capability was not tested during these months.

The MSA assessed this contravention as Moderate based on the number of instances in which the required monthly testing was not performed.

No mitigation plan was provided with respect to this contravention.

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 August 17, 2026