

NOTICE OF SPECIFIED PENALTY

Date of Issue: September 10, 2026		Payment Due Date: October 12, 2026	
MSA File Number	RS2026-035	Specified Penalty Amount ¹	\$3,500.00
Market Participant Name:	Pembina NGL Corporation		
Reliability Standard	COM-002-AB-4	Self-Report	Yes: ☒ No: ☐
Requirement	R3	Accepted Mitigation Plan	Yes: ☒ No: ☐
Date of Referral / Self Report	February 09, 2026	Date of Contravention:	April 01, 2024 - April 04, 2026

MSA FINDINGS

COM-002-AB-4 R3 states:

R3 Each operator of an electric distribution system, operator of a generating unit, and the operator of an aggregated generating facility shall conduct initial training for each of its operating personnel who can receive an oral two-party, person-to-person operating instruction prior to that individual operator receiving an oral two party, person-to-person operating instruction, including directives, to either:

- (a) repeat, not necessarily verbatim, the operating instruction and receive confirmation from the issuer that the response was correct; or
- (b) request that the issuer reissue the operating instruction.

The MSA is satisfied Pembina contravened COM-002-AB-4 R3, as an operator did not receive initial training prior to receiving operating instructions on November 2, 2025. The contravention period is from April 1, 2024, when initial training was required, to April 4, 2026, when training was completed for all operating personnel.

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 enforcement@albertamsa.ca (<mailto:enforcement@albertamsa.ca>) for instructions. When submitting the EFT, please send an email to AU.FinOps@gov.ab.ca (<mailto:AU.FinOps@gov.ab.ca>), enforcement@albertamsa.ca (<mailto:enforcement@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 enforcement@albertamsa.ca (<mailto:enforcement@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 enforcement@albertamsa.ca (<mailto:enforcement@albertamsa.ca>).

APPROVED BY

Johanne Poirier Mouallem, Advisor, Alberta Reliability Standards on September 10, 2026

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