



# **The Capital Power Corporation Code of Conduct Regulation Compliance Plan**

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## **Part 1 - Introduction**

- 1.1 Purpose**
- 1.2 Effective Date**
- 1.3 Organization Structure**
- 1.4 Roles and Responsibilities for Compliance for CPC Affiliated Retailers (Reference to section 4.3)**
- 1.5 Definitions**

## **Part 2 - Conduct Principles**

- 2.1 Statement of Principles**
- 2.2 Confidentiality of Customer Information**
  - 2.2.1 Confidentiality Commitment**
  - 2.2.2 Access to Customer Information**

## **Part 3 - Conduct Guidelines for Capital Power Corporation as a Owner and Affiliated Retailers**

- 3.1 Financial Records and Accounts**
  - 3.1.1 Separate Records and Accounts**
  - 3.1.2 Retention Periods**

## **Part 4 - CPC Affiliated Retailers Compliance Planning**

- 4.1 Fundamental Obligation for Conduct (Reference to section 1.5)**
- 4.2 Ongoing Obligation for Compliance Planning**
- 4.3 Conduct Leader Accountabilities (Reference to sections 4.6 and 4.7)**

- 4.4 Changes to the Capital Power Corporation Compliance Plan
- 4.5 Methods of Monitoring Compliance (Reference to section 4.6)
- 4.6 Quarterly Reports
- 4.7 Annual Reports MSA
- 4.8 Production of Documents to the Regulators
- 4.9 Training

### **Part 5 - Annual Compliance Audit**

- 5.1 Code of Conduct Audit Requirement

### **Part 6 Complaints**

- 6.1 Resolution of Circumstances of Non-Compliance
- 6.2 Complaints Contact
- 6.3 Complaints in Writing
- 6.4 Complaints to the MSA

### **APPENDICES**

- A. Acknowledgement Form
- B. Committee Structure
- C. Code of Conduct Voluntary Resolution of Complaints Procedure

## The Capital Power Corporation Code of Conduct Regulation Compliance Plan

### Part 1 - Introduction

#### 1.1 Purpose

The purpose of this Compliance Plan (the “Capital Power Corporation Compliance Plan” or “Plan”) is to describe the systems, policies and mechanisms that each of CP Energy Marketing L.P. (“CPEMLP”) and Capital Power GP Holdings Inc. (“CPGPHI”) intend to use to ensure that their respective officers, employees, agents and contractors (collectively referred to as “CPC Affiliated Retailers”) comply with the *Code of Conduct Regulation*, AR 160/2003 (the “Conduct Regulation”) made under the *Electric Utilities Act* (the “Act”). The Plan is filed with, and is subject to approval by, the Market Surveillance Administrator (“MSA”). An individual who believes that either of the CPC Affiliated Retailers has failed to comply with the provisions of the Capital Power Corporation Compliance Plan or the Conduct Regulations is encouraged to contact the Capital Power Corporation Conduct Leader directly. If the matter is not satisfactorily resolved, the individual should follow the complaint procedures outlined in Part 6 of the Plan.

#### 1.2 Effective Date

The Capital Power Corporation Compliance Plan will be effective on the date that it is approved by the MSA and remains effective until amended or revoked.

#### 1.3 Organization Structure

Capital Power Corporation owns companies that carry on business activities in commercial aspects of the electricity industry in Alberta.

CPEMLP is an indirect subsidiary of Capital Power Corporation. CPEMLP provides only Competitive Electricity Services, as that term is defined in this Plan. CPEMLP provides these services throughout Alberta.

CPGPHI is a subsidiary of Capital Power Corporation. CPGPHI provides only Competitive Electricity Services, as that term is defined in this Plan. CPGPHI provides these services throughout Alberta.

CPEMLP and CPGPHI are not affiliated with EPCOR Utilities Inc. (“EPCOR”) or EPCOR Distribution & Transmission Inc. (“EDTI”) as defined in the Alberta Business Corporations Act, but are only “affiliated retailers” to EDTI, an Owner, pursuant to s. 2 of the Code Regulation. Capital Power is a public company that is operated independently from EPCOR, EPCOR has

advised Capital Power that it intends to act only as a passive investor and not as an active manager of Capital Power. EPCOR has further advised Capital Power that it may eventually sell all or a substantial number of the Common Shares underlying its Exchangeable LP Units, subject to market conditions, its requirements for capital and other circumstances that may arise in the future. Capital Power has restricted the access of EDTI employees to Capital Power facilities. Where the provision of any services by EDTI requires, in its reasonable opinion, the use of any Capital Power facility or where an employee or contractor of EDTI requires access to any Capital Power facility in order to provide the services, Capital Power agrees to provide EDTI with reasonable access to those facilities. The employees and contractors of EDTI are required to adhere to the security and workplace procedures and policies of Capital Power and will comply with the confidentiality obligations when working at or visiting Capital Power facilities. In Capital Power's transition to a separate public company, a project team was created to separate the sharing information systems with EPCOR. The separation of information systems was completed on January 25, 2010.

#### **1.4 Compliance Roles and Responsibilities for CPC Affiliated Retailers**

To provide oversight over the activities for the CPC Affiliated Retailers that are subject to the Conduct Requirements, Capital Power Corporation has appointed a Conduct Leader, and has established a Code of Conduct Compliance Committee.

The Conduct Leader has the duty of ensuring that the CPC Affiliated Retailers comply with the Conduct Requirements, including investigating instances of alleged or actual non-compliance. The Conduct Leader is responsible for monitoring the conduct of CPC Affiliated Retailers, reporting to the Board of Directors of Capital Power Corporation and to the MSA as required by the Conduct Requirements. The Conduct Leader will be a point of contact for the MSA for issues regarding conduct of a CPC Affiliated Retailers under this plan.

The Capital Power Corporation Conduct Committee (the "Conduct Committee") consists of designated Conduct Advisors from CPEMLP, CPGPHI, and such employees from Capital Power Corporation as may be reasonably required to perform the duties of the Conduct Committee. The Conduct Committee has the duty to make decisions relating to issues arising under the Conduct Requirements, to review compliance plans and to confirm the implementation of any changes to or recommendations respecting policies or procedures that are decided upon by the Conduct Committee.

A Conduct Advisor is responsible for representing the interests of the CPC Affiliated Retailer for which the Conduct Advisor has been designated. The Conduct Advisor for each CPC Affiliated Retailer shall be accountable as set out in section 4.3 and shall be responsible to make the Capital Power Corporation Compliance Plan operational for the Conduct Advisor's corporation.

## 1.5 Definitions

Capitalized words and phrases used in the Capital Power Corporation Compliance Plan shall have the meanings set out in the Plan and the Conduct Regulation. In the event of any inconsistency between the Plan Definitions and the definitions in the Conduct Regulation, the Plan Definitions will prevail for the purposes of interpreting the Plan:

- (a) **"ABCA"** means the Alberta Business Corporations Act, as amended from time to time;
- (b) **"Act"** means the Electric Utilities Act, as amended from time to time;
- (c) **"Affiliate"** has the meaning prescribed under Conduct Legislation;
- (d) **"Affiliated Retailer"** means a retailer that provides electricity services in Alberta to Customers and meets the criteria set out in the Conduct Regulation;
- (e) **"Auditor"** means an auditor appointed to test compliance by Capital Power Corporation with Code;
- (f) **"CICA Handbook"** means the handbook published by the Canadian Institute of Chartered Accountants, as amended from time to time;
- (g) **"Competitive Electricity Services"** means the electricity services that are provided by a Retailer but does not include Regulated Electricity Services or the services provided by a Default Supplier;
- (h) **"Compliance Leader"** – means the individual designated with responsibility for ensuring that the CPC Affiliated Retailers comply with the Conduct Requirements, including investigating instances of alleged or actual non-compliance, monitoring the conduct of CPC Affiliated Retailers, reporting to the Board of Directors of Capital Power Corporation and to the MSA as required by the Conduct Requirements;
- (i) **"Compliance Plan"** means a compliance plan of an Utility or its Affiliated Retailer approved by the MSA under the Conduct Regulation, as amended from time to time;
- (j) **"Conduct Advisor"** means the individual designated with responsibility for compliance obligations for each respective CPC Affiliated Retailer and is responsible to make the Capital Power Corporation Compliance Plan operational for the corporation for which the Conduct Advisor has designated responsibility;
- (k) **"Confidential Information"** – means Confidential Information for the purposes of this Plan and is interchangeable with the defined term "Customer Information";

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- (l) **"Customer"** means a person purchasing electricity for that person's own use;
- (m) **"Customer Information"** means information that is not available to the public and that:
- (i) is uniquely associated with a Customer,
  - (ii) could be used to identify a Customer, or
  - (iii) is provided by a Customer to an Owner;
- (n) **"CPGPHI"** means Capital Power GP Holdings Inc. and expressly includes all directors, officers, employees, agents and contractors engaged in the business of Capital Power GP Holdings Inc.;
- (o) **"CPEMLP"** means CP Energy Marketing L.P. and expressly includes all directors, officers, employees, agents and contractors engaged in the business of CP Energy Marketing L.P.;
- (p) **"Capital Power Corporation Compliance Plan"** means the consolidated Compliance Plan of CPEMLP and CPGPHI;
- (q) **"CPC Affiliated Retailers"** means CP Energy Marketing L.P. ("CPEMLP") and Capital Power GP Holdings Inc. ("CPGPHI");
- (r) **"Default Supplier"** means a Retailer appointed by an Owner pursuant to Section 3 (1) of the Roles Relationships and Responsibilities Regulation 2003;
- (s) **"EDTI"** means EPCOR Distribution & Transmission Inc. and expressly includes all directors, officers, employees, agents and contractors engaged in the business of EPCOR Distribution & Transmission Inc.;
- (t) **"EPCOR"** means EPCOR Utilities Inc. and expressly includes all directors, officers, employees, agents and contractors engaged in the business of EPCOR Utilities Inc.;
- (u) **"Fair Market Value"** means the price available in an open and unrestricted market between informed and prudent parties, acting at arm's length and under no compulsion to act, expressed in terms of money. If the value of the transaction for goods or services is regulated by a municipal, provincial or federal government or government agency, the regulated value is to be considered the fair market value;
- (v) **"Market Surveillance Administrator" and "MSA"** means the body created under Part 5 of the Alberta Utilities Commission Act and includes any person referred to in Section 34(2) of the Alberta Utilities Commission Act when the Market Surveillance Administrator is making use of that person's services;

- (w) **"Non-Regulated Electricity Services"** means the electricity services that are provided by a Retailer and does not include Regulated Electricity Services or the services provided by a Default Supplier;
- (x) **"Owner"** has the meaning prescribed under Conduct Legislation;
- (y) **"Regulated Electricity Services"** means electricity services:
  - (i) that are provided by an Owner or the access to which or the use of which is controlled by an Owner, and
  - (ii) the costs of which are recoverable under a tariff approved by the AUC;
- (z) **"Retail Electricity Services"** means the electricity services that are provided by a Retailer and does not include Regulated Electricity Services;
- (aa) **"Retailer"** includes:
  - (i) an Affiliated Retailer, or
  - (ii) if a Retailer or Affiliated Retailer makes an arrangement with one or more other persons to perform any or all of the functions of a Retailer, the Retailer or Affiliated Retailer and those one or more other persons;

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## Part 2 – Conduct Principles

### 2.1 Statement of Principles

Capital Power Corporation will endeavour to ensure compliance with the Conduct Requirements by implementing and maintaining the systems, policies and mechanisms described in this Compliance Plan.

### 2.2 Confidentiality of Customer Information

**2.2.1 Confidentiality Commitment** — CPC Affiliated Retailers are committed to the protection of Customer Information in accordance with the Conduct Requirements. Access to Customer Information shall, at all times be controlled and, in particular, restricted to ensure that Customer Information is protected in accordance with the Conduct Requirements. CPC will use the following methods to maintain confidentiality of Customer Information:

- (a) CPC and EPCOR have complete separation of information systems as of January 25, 2010. \*\*
- (b) All CPC services are at all times provided subject to the CPC Privacy Policy.
- (c) CPC employees, agents and contractors are at all times subject to the CPC Ethics Policy, which contains the requirement for information to be maintained as confidential.
- (d) CPC's contracts with its agents and contractors will include provisions designed to maintain confidentiality of Customer Information, and expressly require the agents and contractor to observe and uphold all CPC policies, including, in particular, the Plan.

\*\* CPC has entered into a service agreement with EPCOR to host: CPC's Telecommunications and host CPC's computer servers in EPCOR's Data Centre. The service agreement upholds complete separation of information systems.

#### [CRs.9]

**2.2.2 Access to Customer Information** — CPC employees shall not, except as set forth in this policy, be permitted access to EPCOR Customer Information. Excepted from this policy are the CPC Employees who require EPCOR Information to provide supply and settlement management services for EPCOR or other services for EPCOR as approved by the AUC:

- (a) Access to Regulated or Default Supply customer information by Capital Power employees can only be attained through a formal request to EPCOR. Any such

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Version 1.1 – January 6, 2011*

- requests must be made through the applicable conduct advisor who will retain documentation of those requests.
- (b) Excepted from 2.2.2 (a) are standard requirements of designated CPC employees for EPCOR customer information to administer settlement management services for EPCOR or other services for EPCOR as approved by the Alberta Utilities Commission.

## **Part 3 - Conduct Guidelines for CPC Affiliated Retailers**

### **3.1 Financial Records and Accounts**

**3.1.1 Separate Records and Accounts** — CPC Affiliated Retailers will keep records and accounts that:

- (a) are sufficient to enable an audit to be conducted under Part 4 of the Regulation,
- (b) detail any financial transactions or arrangements conducted between the Owner and CPC affiliated retailers or by the Owner on behalf of CPC affiliated retailers
- (c) are in accordance with generally accepted accounting principles.

**[CRs.27(2)]**

**3.1.2 Retention Periods** — CPC Affiliated Retailers shall keep records, accounts, financial transactions, reports, plans and agreements required by the Conduct Requirements and Compliance Plan, including relevant policies and procedures, for at least 6 years.

**[CRs.30]**

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## Part 4 - CPC Affiliated Retailers Compliance Planning

### 4.1 Fundamental Obligation for Conduct

CPC Affiliated Retailers are obligated to comply with the provisions of the Conduct Requirements and, subject to section 1.5 of the Plan. In the event of any conflict between the provisions of Capital Power Corporation Compliance Plan and the provisions of the Conduct Requirements, the latter shall prevail (except for definitions), provided, however, any action taken reasonably by a CPC Affiliated Retailer is in response to an emergency that:

- (a) threatens public safety,
- (b) threatens the safety of a CPC Affiliated Retailer's officers, employees, agents or contractors,
- (c) threatens the physical integrity of a CPC Affiliated Retailer's facilities, or
- (d) threatens system reliability,

is not a contravention to the Conduct Requirements, or this Plan.

**[CRs.44]**

### 4.2 Ongoing Obligation for Compliance Planning

CPC Affiliated Retailers accept an ongoing obligation to maintain an appropriate relationship with their Affiliates to ensure compliance with the Conduct Requirements. To ensure ongoing compliance, CPC Affiliated Retailers will participate in the Capital Power Corporation Conduct Committee as described in Appendix B. Capital Power Corporation will ensure that:

- (a) CPEMLP, and CPGPHI are represented in relation to matters concerning compliance with the Conduct Requirements, and that roles and responsibilities are defined;
- (b) the Code of Conduct Committee will meet quarterly and minutes of the meeting will be recorded and kept by the Conduct Leader.
- (c) auditors have sufficient access to officers, employees, agents and contractors, and information systems to perform their obligations, failing which a clear method of resolving difficulties is identified;
- (d) Capital Power Corporation will internally monitor the Capital Power Corporation Compliance Plan and resolve any circumstances that are determined not to be in compliance with the Conduct Requirements; and
- (e) As set out in Part 6, written procedures are in place by which any complaint regarding non-compliance with the Capital Power Corporation Compliance Plan will be handled and resolved and reported to the MSA.

**[CRs.31]**

#### **4.3 Capital Power Corporation Conduct Advisor Accountabilities**

CPEMLP and CPGPHI shall each appoint a Conduct Advisor to be a member of the Capital Power Corporation Conduct Committee. The Conduct Advisor will be responsible for the following:

- (a) ensuring that Conduct Requirements and the provisions of the Plan are reasonably communicated to employees, agents and contractors of CPC Affiliated Retailers that are required to comply with the Plan.
- (b) ensuring that the Plan is kept current and is amended where operating circumstances or regulatory provisions require changes to the Plan.
- (c) ensuring that the provisions of the Plan and the provisions of the Conduct Requirements are carried out by CPC Affiliated Retailers, and that adequate records, as set out in section 4.6, are maintained to demonstrate compliance by the CPC Affiliated Retailer that the Conduct Advisor represents.
- (d) working with the Capital Power Corporation Conduct Leader to resolve any instances of non-compliance with the Conduct Requirements or the Plan. Documentation will be maintained by the Conduct Leader.
- (e) working with the Capital Power Corporation Conduct Leader so that any complaints of non-compliance that are directed to CPC Affiliated Retailers are acted upon and, where non-compliance found, to resolve that non-compliance. Documentation will be maintained by the Conduct Leader.
- (f) working with the Capital Power Corporation Conduct Leader so that all required reporting and audit requirements of CPC Affiliated Retailers are duly completed including performing an annual review and preparation of the compliance reports provided by section 4.6 and 4.7.
- (g) working with the Capital Power Corporation Conduct Leader to respond to any questions or queries that the MSA may communicate directly to the Conduct Advisor regarding the Capital Power Corporation Compliance Plan.
- (h) providing advice, training and information to employees of the CPC Affiliated Retailer that the Conduct Advisor represents.

**[CRs.31]**

#### **4.4 Changes to the Capital Power Corporation Compliance Plan**

CPC Affiliated Retailers will endeavour to keep the Plan up to date as required by the Conduct Requirements, as amended from time to time. If a CPC Affiliated Retailer requires a change to the Plan, the Capital Power Corporation Conduct Leader will submit an amended Capital Power Corporation Compliance Plan to the MSA for approval:

- (a) within 60 days following a change in circumstances that requires a change to the Plan, or
- (b) as soon as practicable when a change in the Plan is made for a reason other than a change in circumstances.

Upon approval by the MSA, the Capital Power Corporation Conduct Leader will ensure that the CPC Affiliated Retailers receive a copy of the amended Capital Power Corporation Compliance Plan as soon as practical.

**[CRs.33]**

#### **4.5 Quarterly Management Certificates**

Each quarter designated CPC Affiliated Retailer's senior management personnel will complete a Management Certificate indicating that each CPC Affiliated Retailer has performed its business activities in a manner that observes:

- (a) Adherence to principles and practices of the plan herein and with the Conduct Regulation, as applicable.
- (b) Reporting in accord with 4.6 of any identified or reported incidents of non-compliance with the plan or the Conduct Regulation, as applicable.

#### **4.6 Quarterly Reports**

Each quarter the Capital Power Corporation Conduct Leader will, provide a compliance report for CPC Affiliated Retailers to the Board of Directors of the applicable entity, or persons authorized to exercise the powers of those directors, and to the MSA describing:

- (a) any non-compliance by with the Conduct Regulation or the Plan that has been identified,
- (b) the action taken to remedy the non-compliance, and
- (c) any complaints of non-compliance with the Conduct Regulation or the Plan, and how the complaints have been dealt with.

**[CRs.34 (1)]**

#### **4.7 Annual Reports for the MSA**

The Capital Power Corporation Conduct Leader will, within 30 days following the end of each calendar year (or such other date as the MSA may approve) provide to the MSA an annual compliance report for CPC Affiliated Retailer, approved by the Board of Directors of the applicable entity, or persons authorized to exercise the powers of those directors providing documented details of:

- (a) any non-compliance with the Conduct Regulation or the Capital Power Corporation Compliance Plan,
- (b) the action taken to remedy the non-compliance, and
- (c) any complaints of non-compliance with the Conduct Regulation or the Plan, and how the complaints have been dealt with.

**[CRs.34 (2)]**

#### **4.8 Production of Documents to Regulators**

Capital Power Corporation will produce documentation referred to in Compliance Plan and relevant policies and procedures upon request by the MSA or auditor.

#### **4.9 Training**

CPC Affiliated Retailers will provide training in relation to the Conduct Requirements and the Capital Power Corporation Compliance Plan, as follows:

- (a) Access to each CPC Affiliated Retailer's Customer information will be controlled by the Compliance Leader. Customer information IT systems and data bases will be restricted to all CPC Affiliated Retailer employees; they may only gain access through permission from the Conduct Leader. A requirement for access is that the CPC Affiliated Retailer employees receive training on the Conduct Requirements and the Capital Power Corporation Compliance Plan.
- (b) The Conduct Advisors will be responsible for required employees receiving Compliance Plan training and ensuring that each CPC Affiliated Retailer maintain records of the date that these employees received Compliance Plan training.
- (c) CPC Affiliated Retailer employees and new hires that are allowed access to CPC Affiliated Retailer's Customer information will have to have received training about the provisions of the applicable Compliance Plan. Repeat training will be provided within the 12-month period following the second anniversary the date an employee last received training.
- (d) CPC Affiliated Retailer employees will receive awareness communications about the Capital Power Corporation Compliance Plan at least annually.
- (e) CPC Affiliated Retailers will maintain records regarding details of training and awareness communications for Capital Power Corporation employees.

## **Part 5 - Annual Compliance Audit**

### **5.1 Code of Conduct Audit Requirement**

CPC Affiliated Retailers will meet the audit obligations of the Code, as directed by the MSA.

[CRs.38]

## **Part 6 - Complaints**

### **6.1 Resolution of Circumstances of Non Compliance**

CPC Affiliated Retailers will diligently participate in the investigation of complaints respecting its compliance with the Conduct Requirements or Capital Power Corporation Compliance Plan, and will diligently act to resolve instances of non-compliance that may be identified.

### **6.2 Complaints Contact**

Any concern that an individual has with the conduct of CPC Affiliated Retailers in relation to Capital Power Corporation Compliance Plan or the Conduct Requirements may address a confidential complaint (a "Conduct Complaint") to the Capital Power Corporation Conduct Leader for resolution.

Contact information for the Compliance Leader is:

E-mail: [conductleader@capitalpower.com](mailto:conductleader@capitalpower.com)  
Fax: (403) 717-8194  
Mail: Capital Power Corporation Conduct Leader  
8th Floor  
505 – 2nd 1Street SW  
Calgary, AB T2P 1N8  
Phone: (403) 717-8989

### **6.3 Complaints in Writing**

All Conduct complaints should be made in writing, providing as much factual detail as possible, including the name of the complainant, the date of the complaint, a brief description of the complaint, and a description of any actions taken to resolve the issue prior to the filing of the Conduct complaint. Complaints must be submitted in accordance with Appendix C to ensure handling in accordance with Capital Power Corporation's complaint procedures.

### **6.4 Complaints to the MSA**

CPC Affiliated Retailers provide Electricity Services subject to the provisions of this Capital Power Corporation Compliance Plan and the Conduct Regulation. Any person that feels that the CPC Affiliated Retailers have failed to conduct its business in accordance with the Conduct Regulation may submit a complaint to the Market Surveillance Administrator (the "MSA"), an independent body created under the Alberta Utilities Commission Act. The MSA can be reached by telephone at (403) 705-3181. For additional information about the MSA please visit their web site at "[www.albertamsa.ca](http://www.albertamsa.ca)".

This document is hereby adopted as the Capital Power Corporation Compliance Plan for CP Energy Marketing L.P. and Capital Power GP Holdings Inc., the 6 day of January, 2011.

**CP Energy Marketing L.P.**

Per: \_\_\_\_\_  
Kathryn Chisholm, Senior Vice-President

Per: \_\_\_\_\_  
Jim Morison, Conduct Leader

**Capital Power GP Holdings Inc.**

Per: \_\_\_\_\_  
Kathryn Chisholm, Senior Vice-President

Per: \_\_\_\_\_  
Jim Morison, Conduct Leader

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**APPENDIX A**

**Capital Power Corporation's Code of Conduct Regulation Compliance Plan Awareness**

The *Code of Conduct Regulation* (the "Conduct Regulation") establishes a code of conduct governing the behaviour of Owners and their affiliated retailers and was developed by the Government of Alberta to foster an open and fair marketplace for the retail sale of electricity.

Implemented as a Ministerial Order under the *Alberta Electric Utilities Act* effective June 1, 2003, compliance with the Conduct Regulation is mandatory for all electricity distribution companies and their affiliated retailers. CP Energy Marketing L.P. ("CPEMLP") and Capital Power GP Holdings Inc. ("CPGPHI") are "Affiliated Retailers" to EPCOR Distribution & Transmission Inc. (EDTI), (an "Owner") pursuant to s. 2 of the Conduct Regulation. To ensure compliance with the Conduct Regulation CPEMLP and CPGPHI are subject to the Capital Power Corporation Code of Conduct Regulation Compliance Plan and have made a commitment to proper handling of Customer Information.

It is understood that Capital Power Corporation relies upon the Employee, and trusts the Employee to use Customer Information in the manner provided for within Compliance Plans filed on behalf of Capital Power Corporation companies and to ensure that Capital Power Corporation Information is not used in any manner that is harmful to Capital Power Corporation.

All Capital Power Corporation Employees who are provided with access to Customer Information will be required to take Code of Conduct training prior to receiving such access.

Contractors are subject to standard terms in contracts that require Contractors to adhere to the Conduct Regulation and Capital Power Corporation Compliance Plans

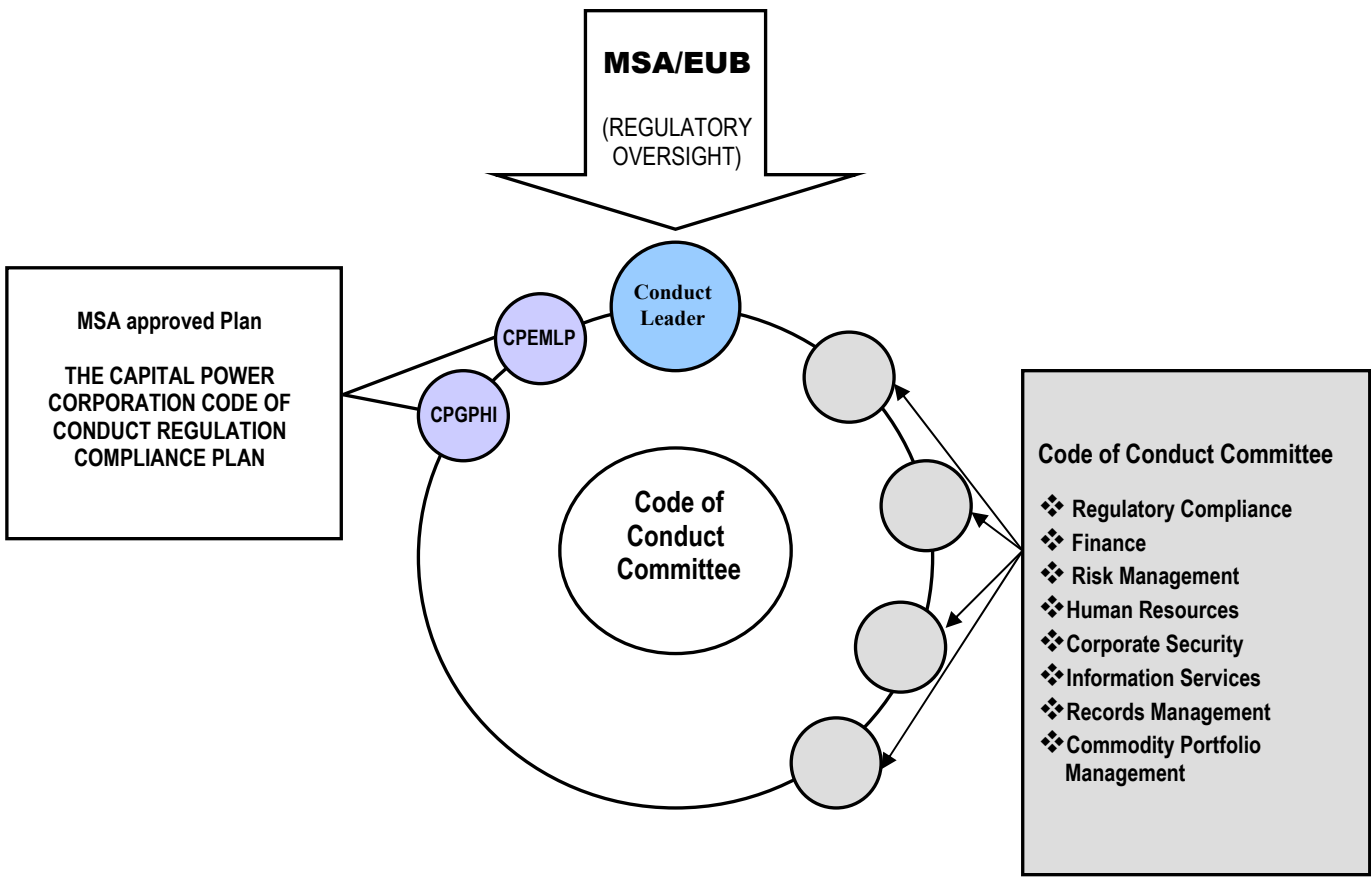
Complaints regarding violations of the Conduct Regulation will be investigated by the Conduct Leader with reporting to the provincial Market Surveillance Administrator and the Supervisory Authority. Any company found to be in violation of the Code could be subject to heavy fines and other penalties.

I, \_\_\_\_\_ (Print Name and Payroll Number) have received the above information and hereby understand that I must inform myself of the provisions of the Conduct Regulation, and the applicable Compliance Plan, and at all time agree to observe and comply with the provisions of the Conduct Regulation to the extent that it applies to my job.

Signed

By: \_\_\_\_\_ Witness: \_\_\_\_\_ Date: \_\_\_\_\_

**APPENDIX B**



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## **APPENDIX C**

### **Code of Conduct Voluntary Resolution of Complaints Procedure**

If you determine, or suspect, that a breach of the Code of Conduct has occurred, please follow the steps of the procedure outline below. If you have any question regarding this procedure please call the Capital Power Corporation Conduct Leader at (403) 717-8989.

#### **Complaints Initiated by Parties External to Capital Power Corporation**

1. If you determine, or suspect, that a breach of the Code of Conduct has occurred, your Code of Conduct Compliance complaint should be submitted in writing to the Capital Power Corporation Conduct Leader with the following details:
  - Your name and contact information
  - Date of the incident
  - Nature of the breach
  - A brief description of the incident
  - Details of any action taken to-date
  - Resolution (if resolved), and description of remedial action
  - Date of submission of complaint.
2. After assembling the above noted details, you can either mail all pertinent information to:  
  
Conduct Leader  
Capital Power Corporation  
8<sup>th</sup> floor  
505 – 2<sup>nd</sup> Street SW  
Calgary, Alberta, Canada  
T2P 1N8
3. OR... E-mail all pertinent information to the Conduct Leader at [conductleader@capitalpower.com](mailto:conductleader@capitalpower.com)
4. OR ... Fax all pertinent information to the Conduct Leader at (403) 717-8954.
5. Complaints received will be stamped with the receipt date when received by the Conduct Leader.
  - The Compliance Leader will acknowledge the complaint (in writing) to the initiator within five (5) business days. For this reason please include your name and contact information with details of incident submitted.
  - The Compliance Leader will work to resolve the issue and the delivery of a response to the initiator within twenty-one (21) business days of receiving the complaint.
  - The subject matter of any valid complaint must be resolved by Capital Power Corporation within 60 days of receiving the complaint or such later time, as the MSA or the EUB shall allow.
  - When a complaint has been received, it will be reported to the MSA and the Capital Power Corporation Board of Directors as required by the Conduct Requirements, but in all other respects shall remain strictly confidential.

Any individual or company found guilty of non-compliance is subject to fines and penalties in accordance with the Act upon the recommendation of the MSA.

***The information surrounding the incident will be used to assist in the prevention of a repeat of the offence.***