

Standards of Conduct (Transmission) Policy 7 – Compliance with the Standards of Conduct	Revision: B Effective Date: 10/09/18	Author: General Counsel (Central Region) <u><i>Sarah B. Knowlton</i></u> <small>Sarah B. Knowlton (Oct 5, 2018)</small>
Approval Signature(s) and date: Chief Compliance and Risk Officer: <u><i>Mary Ellen Paravalos</i></u> <small>Mary Ellen Paravalos (Oct 23, 2018)</small>		

Revision History

Revision	Date	Changes	Approved By
A	08/16/17	Created New Documentation	L. Beirsto
B	10/09/18	Annual Review; Changed Chief Compliance Officer to Chief Compliance and Risk Officer and approver from J. Tindale to M. Paravalos	M. Paravalos

PRINCIPLE:

This policy addresses steps to be taken to ensure continuing compliance with the Standards of Conduct.

PRACTICE:

- I. All employees are required to identify immediately any practices that appear to be inconsistent with the APUC SOC Procedures and the Standards of Conduct. An employee who becomes aware of such a practice shall report it to his/her supervisor, or the Chief Compliance and Risk Officer, or through the following:

On line at www.whistleblowersecurity.com

By email at algonquinpower@whistleblowersecurity.com

Toll-free telephone at 1-866-921-6714

- II. Each such report shall be communicated to the Chief Compliance and Risk Officer for review. Any report of a practice identified by any employee pursuant to paragraph I above or any practice independently identified by the Chief Compliance and Risk Officer as appearing to be inconsistent with the APUC SOC or Standards of Conduct will be

investigated by the Chief Compliance and Risk Officer or employees acting pursuant to his/her direction.

- III. Any practice deemed by the Chief Compliance and Risk Officer as a result of such investigation to be inconsistent with the APUC SOC Procedures or the Standards of Conduct shall be discontinued immediately. Employees engaged in such practices prior to such determination may be subject to disciplinary action under the terms of the discipline policy, up to and including unpaid disciplinary suspension or termination of employment, depending on the severity of the misconduct and such employees' past compliance with the Standards of Conduct.
- IV. Any employee who commits any intentional violation or a recurring and knowing violation of the APUC SOC Procedures or the Standards of Conduct may be subject to appropriate disciplinary action under the terms of the discipline policy, up to and including unpaid disciplinary suspension or termination of employment.
- V. Documentation of reports of practices pursuant to this policy, investigations taken hereunder and disciplinary actions taken shall be retained for a period of five years.