



**SEMINOLE ELECTRIC COOPERATIVE, INC.  
STANDARDS OF CONDUCT IMPLEMENTATION PROCEDURES**

**Rev. November 5, 2024**

**1. Introduction**

The Federal Energy Regulatory Commission (“FERC”) Standards of Conduct for Transmission Providers (“Standards of Conduct”) are designed to promote four general principles:

- A transmission provider must treat all transmission customers, affiliated and non-affiliated, on a not unduly discriminatory basis, and must not make or grant any undue preference or advantage to any person or subject any person to any undue prejudice or disadvantage with respect to any transportation of natural gas or transmission of electric energy in interstate commerce, or with respect to the wholesale sale of natural gas or of electric energy in interstate commerce.
- A transmission provider’s transmission function employees must function independently from its marketing function employees, except as otherwise permitted.
- A transmission provider and its employees, contractors, consultants and agents are prohibited from disclosing, or using a conduit to disclose, non-public transmission function information to the transmission provider’s marketing function employees.
- With limited exceptions, to the extent non-public transmission function information is improperly disclosed, a transmission provider must provide equal access to non-public transmission function information to all of its transmission customers, affiliated and non-affiliated.

In furtherance of these objectives, FERC has promulgated rules that govern the interaction between and among certain employees and the communication of certain information. Although Seminole Electric Cooperative, Inc. (“Seminole”) is not a FERC- jurisdictional public utility, Seminole complies with the Standards of Conduct as a transmission provider in accordance with these Implementation Procedures. A copy of the Standards of Conduct is appended hereto.

**2. Chief Compliance Officer**

Seminole has designated David Ferrentino, Executive Vice President & Chief Legal Officer for the Standards of Conduct. Mr. Ferrentino may be contacted at (813) 739-1283 and at [dferrentino@seminole-electric.com](mailto:dferrentino@seminole-electric.com).

### **3. Key Definitions**

#### **A. Affiliate**

“Affiliate” of a specified entity means another person that controls, is controlled by or is under common control with, the specified entity, including a division of the specified company that operates as a functional unit.

#### **B. Marketing Functions**

“Marketing functions” means the sale for resale in interstate commerce, or the submission of offers to sell in interstate commerce, of electric energy or capacity, demand response, virtual transactions, or financial or physical transmission rights.

#### **C. Marketing Function Employee**

“Marketing function employee” means an employee, contractor, consultant or agent of Seminole who actively and personally engages on a day-to-day basis in marketing functions, including an employee of The Energy Authority who likewise engages in such functions on behalf of Seminole.

#### **D. Transmission**

“Transmission” means electric transmission, network or point-to-point service, ancillary services or other methods of electric transmission, or the interconnection with transmission facilities.

#### **E. Transmission Customer**

“Transmission customer” means any eligible customer, shipper or designated agent that can or does execute a transmission service agreement or can or does receive transmission service, including all persons who have pending requests for transmission service or for information regarding transmission.

#### **F. Transmission Functions**

“Transmission functions” means the planning, directing, organizing or carrying out of day-to-day transmission operations, including the granting and denying of transmission and interconnection requests and the provision of ancillary services.

#### **G. Transmission Function Employee**

“Transmission function employee” means an employee, contractor, consultant or agent of a transmission provider who actively and personally engages on a day-to-day basis in transmission functions, including certain employees of Seminole’s Operations and Transmission & Engineering divisions.

## H. Transmission Function Information

“Transmission function information” means information relating to transmission functions.

### 4. Non-Discrimination

Seminole does not, and will not, through its tariffs or otherwise, give undue preference to any person in matters relating to the sale or purchase of transmission service.

Accordingly, Seminole (i) processes all similar requests for transmission in the same manner and within the same period of time; (ii) applies all tariff provisions in a fair and impartial manner that treats all transmission customers in a not unduly discriminatory manner; and (iii) strictly enforces all tariff provisions, except those that permit the use of discretion.

### 5. Independent Functioning

Seminole’s transmission function employees perform independently of its marketing function employees, except to the extent otherwise permitted by these Implementation Procedures. Marketing function employees do not conduct transmission functions or have access to the transmission control center or similar facilities used for transmission operations that differs in any way from the access available to other transmission customers. Conversely, transmission function employees do not conduct marketing functions.

#### A. Physical Separation

Although transmission function employees of Seminole share the same office building as marketing function employees, work stations for transmission function employees are physically separated from those of marketing function employees.

#### B. Access Restrictions

The transmission control center is behind locked security doors. Badges for marketing function employees do not allow such employees access to the transmission control center. The transmission control center maintains a log of all visitors.

#### C. Computer Systems and Databases

Seminole utilizes LPA, or Least Privileged Access principles and Active Directory, “AD” File Permissions to segment file access between Marketing Function Employees and Transmission Function Employees. When a new Marketing Employee joins Seminole Electric their Display Name is appended with “–Marketing Employee” to help easily distinguish these users from other functions. Seminole Electric does not provide Marketing Function Employees with AD file permissions to Transmission Function storage locations nor does Seminole provide

Transmission Function Employees with file permission to Marketing Function storage locations. Additionally, these functions are instructed to only save and distribute files in approved locations. This prevents these functions from accessing information outside of their function.

## **6. Non-Public Transmission Information**

No employee, contractor, consultant or agent of Seminole may disclose non-public transmission function information to any of Seminole's marketing function employees, either directly or through a conduit, except to the extent otherwise permitted by these Implementation Procedures.

## **7. Contemporaneous Disclosure**

Except as provided below, to the extent that any employee, contractor, consultant or agent of Seminole discloses non-public transmission function information to any of Seminole's marketing function employees, either directly or through a conduit, Seminole will immediately post on its website the information that was disclosed. To facilitate such postings, any employee aware of such a disclosure must immediately contact Mr. Ferrentino at (813) 739-1283.

### **A. Exception for Information Subject to Limited Dissemination**

To the extent that any employee, contractor, consultant or agent of Seminole discloses to any of Seminole's marketing function employees non-public transmission customer information, Critical Energy Infrastructure Information, or any other information that FERC by law has determined is to be subject to limited dissemination, either directly or through a conduit, Seminole will immediately post notice on its website that the information was disclosed. To facilitate such postings, any employee aware of such a disclosure must immediately contact Mr. Ferrentino at the above number.

### **B. Exception for Specific Transaction Information**

A transmission function employee may discuss with a marketing function employee a specific request for transmission service submitted by the marketing function employee, and Seminole need not disclose on its website information relating solely to such a request.

### **C. Exception for Information Disclosed Pursuant to Voluntary Consent**

A transmission customer of Seminole may voluntarily consent, in writing, to allow Seminole to disclose the transmission customer's non-public information to Seminole's marketing function employees. Seminole will post notice of any such consent on its website, along with a statement that it did not provide any preferences, either operational or rate-related, in exchange for that voluntary consent.

**D. Exception for and Recordation of Certain Information Exchanges**

Seminole's transmission function employees and marketing function employees may exchange (i) non-public transmission function information pertaining to compliance with Reliability Standards approved by FERC and (ii) non-public transmission function information necessary to maintain or restore operation of the transmission system or generating units, or that may affect the dispatch of generating units. Seminole will make and retain a contemporaneous record of all such exchanges, except in emergency circumstances, in which case Seminole will make a record of the exchange as soon as practicable after the fact. The record will consist of hand-written or typed notes, electronic records such as e-mails and text messages, recorded telephone exchanges, or the like. Seminole will retain the record for a minimum of five years and will make the record available to FERC upon request.

**8. Affiliate Information**

Seminole's Operations and Member Services & External Affairs divisions are the only affiliates of Seminole that employ or retain marketing function employees. The divisions are located within Seminole's headquarters building at 16313 North Dale Mabry Highway in Tampa, Florida. The headquarters building is the only employee-staffed facility shared by transmission function employees and marketing function employees of Seminole. Seminole will post information concerning potential merger partners as affiliates that may employ or retain marketing function employees within seven days after the potential merger is announced.

Although not an affiliate of Seminole, The Energy Authority performs marketing functions as an agent on behalf of Seminole.

**9. Employee Information**

Seminole posts on its website the job titles and job descriptions of its transmission function employees. Seminole will post a notice on its website of any transfer of a transmission function employee to a position as a marketing function employee, or any transfer of a marketing function employee to a position as a transmission function employee. The notice will include: (i) the name of the transferring employee, (ii) the respective titles held while performing each function (i.e., as a transmission function employee and as a marketing function employee), and (iii) the effective date of the transfer. The notice will remain posted on the website for a minimum of 90 days.

Seminole will not use any such job transfer as a means to circumvent any provision of the Standards of Conduct.

**10. Internet Postings**

All information that Seminole posts on its website in compliance with the Standards of Conduct will be sufficiently prominent as to be readily accessible. Seminole will update all such information within seven business days of any change, and it will post the date

on which the information was updated. Notwithstanding the foregoing, in the event an emergency severely disrupts Seminole's normal business operations, Seminole may suspend the posting requirements. If the disruption lasts longer than one month, Seminole will so notify FERC and may seek a further exemption from the posting requirements.

#### **11. Standards of Conduct Training**

Seminole provides annual training on the Standards of Conduct to all of its transmission function employees, marketing function employees, officers, directors, supervisory employees, and any other employees likely to become privy to transmission function information. Seminole also provides such training to new employees in these categories within the first 30 days of employment. All employees who have completed training must so certify electronically or in writing.

#### **12. Books and Records**

Seminole's books of account and records are available for FERC inspection. Seminole's Operations and Member Services & External Affairs divisions are the only affiliates of Seminole that employ or retain marketing function employees. Since the divisions are internal business units of Seminole, Seminole does not maintain separate books of account and records.

#### **13. Questions and Inquiries**

Any questions or concerns related to Standards of Conduct compliance should be addressed to Mr. Ferrentino at (813) 739-1283 or [dferrentino@seminole-electric.com](mailto:dferrentino@seminole-electric.com). In addition, any employee receiving compliance-related inquiries from external parties, including but not limited to parties representing FERC, other regulatory bodies, companies or competitors, should refer such parties to Mr. Ferrentino.