

## **Form of Self-Certification Statement on Compliance Under Section 6.4 of the Code of Conduct for Gas Marketers**

*Note: This form is required to be used for the purposes of compliance with section 6.4 of the OEB's Code of Conduct for Gas Marketers pertaining to the annual filing of a Self-certification Statement on compliance with all applicable legal and regulatory requirements (as defined below). The form should be completed in accordance with the OEB's instructions as set out on the OEB's webpage.*

*Gas marketers must maintain and be able to provide, on request, records substantiating the statements made in this Self-certification Statement.*

### **Part I: Definitions and Interpretation**

#### 1.1 In this Self-certification Statement:

“applicable legal and regulatory requirement” means any requirement under the *Energy Consumer Protection Act, 2010*, the *Ontario Energy Board Act, 1998*, the regulations made under those Acts, a licence issued under section 48 of the *Ontario Energy Board Act, 1998* and any rule made by the OEB under section 44 of the *Ontario Energy Board Act, 1998* that is in force on the Effective Certification Date;

“Effective Certification Date” means the date on which this Self-certification Statement is signed by the Gas Marketer and filed with the OEB;

“low volume consumer” means a person who annually uses less than 50,000 cubic metres of gas or such other amount as may be prescribed for the purposes of section II of the *Energy Consumer Protection Act, 2010*;

“Gas Marketer” means the licensed gas marketer identified in the opening paragraph of section II;

“salesperson” has the meaning given to it in section 2 of the *Energy Consumer Protection Act, 2010*, and for greater certainty includes any person that offers or negotiates the renewal or extension of a contract on behalf of a gas marketer but excludes a verification representative when acting solely in that capacity; and,

“verification representative” means a person that conducts the verification of a contract on behalf of a gas marketer.

- 1.2 Unless otherwise defined in this Self-certification Statement, words and phrases shall have the meanings given to them in the *Ontario Energy Board Act, 1998*, the *Energy Consumer Protection Act, 2010* or the regulations made under those Acts.
- 1.3 In this Self-certification Statement, “N/A” in relation to a given statement means that the Gas Marketer will not, as of the Effective Certification Date and for a period of not less than 1 month thereafter, carry on the activity to which the statement relates.
- 1.4 All statements in this Self-certification Statement pertain to marketing to low volume consumers.

**Part II: Self-certification**

I,  
having made all necessary enquiries, certify on behalf of the Gas Marketer that:

<b>Confirmation of Marketing Activities</b>		
<b>The channels that the Gas Marketer intends to use for the purpose of marketing gas as of the Effective Certification Date are the following:</b>	<b>Yes</b>	<b>No</b>
(A) Door-to-Door		
(B) Exhibitions		
(C) Trade shows		
(D) Direct Mail		
(E) Gas Marketer’s place of business		
(F) Internet		
(G) Telephone Renewals		
(H) Other (please specify below)		

<b>The methods of verification the Gas Marketer intends to use as of the Effective Certification Date are the following:</b>	<b>Yes</b>	<b>No</b>
(A) Telephone		
(B) Internet		

<b>Self-certification Statement</b>		
<b>1. Salespersons</b>	<b>Yes</b>	<b>N/A</b>
(A) No salesperson acting on behalf of the Gas Marketer will be remunerated on and after the Effective Certification Date in a manner contrary to any applicable legal and regulatory requirements.		
(B) All salespersons acting on behalf of the Gas Marketer have undergone training and testing in accordance with all applicable legal and regulatory requirements		
(C) Each salesperson acting on behalf of the Gas Marketer has been provided with business cards that meet all applicable legal and regulatory requirements		
(D) Each salesperson acting on behalf of the Gas Marketer has been provided with an identification badge that meets all applicable legal and regulatory requirements		
(E) The Gas Marketer's practices for hiring or contracting for salespersons are such that on and after the Effective Certification Date, those persons can be expected to conduct their activities in compliance with all applicable legal and regulatory requirements and with integrity and honesty.		
(F) Adequate processes and controls, designed to ensure that the conduct of salespersons on and after the Effective Certification Date is in accordance with all applicable legal and regulatory requirements, are in place		

<b>Self-certification Statement</b>		
<b>2. Sales using a text-based contract</b>	<b>Yes</b>	<b>N/A</b>
(A) All contract offers, contracts and promotional material pertaining to the sale of gas to consumers have been prepared or revised as required to comply with all applicable legal and regulatory requirements and only offers, contracts and promotional material that so comply will be used on and after the Effective Certification Date		
(B) The required disclosure statement, price comparison and any OEB document referred to in section 1.1(f.1) of the OEB's Code of Conduct for Gas Marketers will be used on and after the Effective Certification Date in accordance with all applicable legal and regulatory requirements		
(C) Adequate processes and controls, designed to ensure that the text-based contracting process on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place		
<b>3. Sales using the Internet</b>	<b>Yes</b>	<b>N/A</b>
(A) The Gas Marketer's internet website and internet contracting process have been prepared or revised to comply with all applicable legal and regulatory requirements		
(B) All contract offers, contracts and promotional material pertaining to the sale of gas to consumers have been prepared or revised as required to comply with all applicable legal and regulatory requirements and only offers, contracts and promotional material that so comply will be used on and after the Effective Certification Date		
(C) The required disclosure statement and price comparison will be used on and after the Effective Certification Date in accordance with all applicable legal and regulatory requirements		
(D) Adequate processes and controls, designed to ensure that the internet contracting process on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place		
<b>4. Verification</b>	<b>Yes</b>	<b>N/A</b>
(A) No verification representative acting on behalf of the Gas Marketer will be remunerated on and after the Effective Certification Date in a manner contrary to any applicable legal and regulatory requirements		
(B) All verification representatives acting on behalf of the Gas Marketer have undergone training and testing in accordance with all applicable legal and regulatory requirements		

<b>Self-certification Statement</b>		
(C) All verification representatives conducting verification by telephone on behalf of the Gas Marketer have been instructed to do so using the verification call script approved by the OEB		
(C.1) All verification representatives conducting internet verification on behalf of the Gas Marketer have been instructed to do so using the e-mail message and verification form approved by the OEB		
(D) Adequate processes and controls, designed to ensure that each verification call made or received by the Gas Marketer's verification representative on and after the Effective Certification Date (including a call from a consumer for the purpose of giving notice not to verify) is recorded and that a copy of the call recording can be retrieved and provided to the consumer upon request in accordance with all applicable legal and regulatory requirements, are in place		
(D.1) Adequate processes and controls, designed to ensure that all communications over the internet between the Gas Marketer's verification representative and a consumer are recorded and that the record of such communications can be retrieved and provided to the consumer upon request in accordance with all applicable legal and regulatory requirements, are in place		
(E) Adequate processes and controls, designed to ensure that the verification of gas contracts with consumers on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place		
<b>5. Contract Renewals and Extensions</b>	<b>Yes</b>	<b>N/A</b>
(A) All contract renewal/extension offers, contract renewal/extension forms and promotional material pertaining to the renewal/extension of gas contracts with consumers have been prepared or revised in accordance with all applicable legal and regulatory requirements and only contract renewal/extension offers, renewal/extension forms and promotional material that so comply will be used		
(B) The required disclosure statement, price comparison and any OEB document referred to in section 1.1(f.1) of the OEB's Code of Conduct for Gas Marketers will be used on and after the Effective Certification Date in accordance with all applicable legal and regulatory requirements		
(C) All salespersons conducting telephone renewals on behalf of the Gas Marketer have undergone training and testing in accordance with all applicable legal and regulatory requirements		
(D) All salespersons conducting renewal calls on behalf of the Gas Marketer have been instructed to do so using the renewal call script approved by the OEB		

<b>Self-certification Statement</b>		
(E) Adequate processes and controls, designed to ensure that each renewal/extension call made or received by the Gas Marketer on and after the Effective Certification Date (including a call from a consumer for the purpose of giving notice not to renew/extend) is recorded and that a copy of the call recording can be retrieved and provided to the consumer upon request in accordance with all applicable legal and regulatory requirements, are in place		
(F) Adequate processes and controls, designed to ensure that the renewal/extension of gas contracts with consumers on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place		
<b>6. Contract Amendments</b>	<b>Yes</b>	<b>N/A</b>
(A) Adequate processes and controls, designed to ensure that the amendment of any gas contract with a consumer on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place		
<b>7. Cancellations and Retractions</b>	<b>Yes</b>	<b>N/A</b>
(A) Adequate processes and controls, designed to ensure that the cancellation of any contract with a consumer on and after the Effective Certification Date is processed in accordance with all applicable legal and regulatory requirements, including as to the payment of any refund to which the consumer may by law be entitled and to the switching of the consumer back to the consumer's utility, are in place		
(B) Adequate processes and controls, designed to ensure that the retraction of the renewal/extension of any gas contract by a consumer on and after the Effective Certification Date is processed in accordance with all applicable legal and regulatory requirements, including as to the switching of the consumer back to the consumer's utility, are in place		
(C) Adequate processes and controls, designed to ensure that each cancellation call and each retraction call received by the Gas Marketer on and after the Effective Certification Date is recorded and that a copy of the call recording can be retrieved and provided to the consumer upon request in accordance with all applicable legal and regulatory requirements, are in place		

<b>Self-certification Statement</b>		
<b>8. Complaint Handling</b>	<b>Yes</b>	<b>N/A</b>
(A) Adequate processes and controls are in place to ensure that consumer complaints on and after the Effective Certification Date alleging non-compliance with any applicable legal or regulatory requirement can be received and are reviewed by the Gas Marketer in a timely manner, and, where applicable, are in accordance with the Consumer Complaint Response Process set out in the OEB's Code of Conduct for Gas Marketers		
(B) Adequate processes and controls are in place to ensure that remedial action is taken in a timely manner and, where applicable, are in accordance with the Consumer Complaint Response Process set out in the OEB's Code of Conduct for Gas Marketers, to address consumer complaints referred to in (A) above, with the consumer and/or with any person that is the subject of the complaint		

Date:

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Signature

Title

**Notes:**

1. This Self-certification Statement must be signed by the Gas Marketer's Chief Executive Officer, Chief Operating Officer, President or other person of equivalent position.
2. It is an offence under section 126(1)(b) of the *Ontario Energy Board Act, 1998* to knowingly furnish false or misleading information in any application, statement or return made under that Act or in any circumstances where information is required or authorized to be provided under that Act.