

## **Electricity Retailer Certificate of Compliance**

### **Under Section 6.2 of the Electricity Retailer Code of Conduct**

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

##### 1.1 In this Certificate:

“applicable legal and regulatory requirements” means all applicable requirements under the *Energy Consumer Protection Act, 2010*, the *Ontario Energy Board Act, 1998*, regulations made under those Acts, a licence issued under section 57(d) of the *Ontario Energy Board Act, 1998* and any code issued by the Board under section 70.1 of the *Ontario Energy Board Act, 1998* that are in force on the Effective Date;

“Effective Date” means the date this Certificate is signed by the Retailer and filed with the Board;

“low volume consumer” has the meaning given to it in the Board's Electricity Retailer Code of Conduct;

“Retailer” means the licensed retailer identified in the opening paragraph of section II;

“salesperson” has the meaning given to it in the Board's Electricity Retailer Code of Conduct;

“text-based” has the meaning given to it in the *Energy Consumer Protection Act, 2010*; and

“verification representative” has the meaning given to it in the Board's Electricity Retailer Code of Conduct.

##### 1.2 Unless otherwise defined in this Certificate, 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 All statements in this Certificate pertain to retailing to low volume consumers.

**Part II: Certification**

Whereas on  the Retailer filed with the Board a Certificate of Compliance under section 6.1 of the Electricity Retailer Code of Conduct in which the Retailer indicated “no” or “N/A” in relation to one or more statements.

And whereas the Retailer now intends to conduct the activities to which those statements relate.

I,

having made all necessary enquiries, certify on behalf of the Retailer that:

*Note: Indicate “yes” for any statement for which “no” or “N/A” was indicated in the certificate filed under section 6.1 of the Electricity Retailer Code of Conduct and in relation to which the Retailer now intends to conduct the relevant activities.*

<b>Confirmation of Retailing Activities</b>		
<b>The channels that the Retailer intends to use for the purpose of retailing electricity as of the Effective Certification Date are the following:</b>	<b>Yes</b>	<b>No</b>
(A) Door-to-Door	<input type="checkbox"/>	<input type="checkbox"/>
(B) Exhibitions	<input type="checkbox"/>	<input type="checkbox"/>
(C) Trade shows	<input type="checkbox"/>	<input type="checkbox"/>
(D) Direct Mail	<input type="checkbox"/>	<input type="checkbox"/>
(E) Retailer's place of business	<input type="checkbox"/>	<input type="checkbox"/>
(F) Internet	<input type="checkbox"/>	<input type="checkbox"/>
(G) Telephone Renewals	<input type="checkbox"/>	<input type="checkbox"/>
(H) Other (please specify below)	<input type="checkbox"/>	<input type="checkbox"/>

<b>Certificate of Compliance</b>		
<b>9. Salespersons</b>	Yes	N/A
(A) All salespersons acting on behalf of the Retailer have undergone training and testing in accordance with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(B) Each salesperson acting on behalf of the Retailer has been provided with business cards that meet all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(C) Each salesperson acting on behalf of the Retailer has been provided with an identification badge that meets all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(D) The Retailer's practices for hiring or contracting for salespersons are such that those persons can be expected to conduct their activities in compliance with all applicable legal and regulatory requirements and with integrity and honesty	<input type="checkbox"/>	<input type="checkbox"/>
(E) Adequate processes and controls, designed to ensure that the conduct of salespersons is in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input type="checkbox"/>

<b>10. Sales using a text-based contract</b>	Yes	N/A
(A) All contract offers, contracts and promotional material pertaining to the sale of electricity 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	<input type="checkbox"/>	<input type="checkbox"/>
(B) The required disclosure statement and price comparison will be used in accordance with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(C) Adequate processes and controls, designed to ensure that the text-based contracting process is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input type="checkbox"/>

<b>11. Sales using the internet</b>	Yes	N/A
(A) The Retailer's internet website and internet contracting process have been prepared or revised to comply with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(B) All contract offers, contracts and promotional material pertaining to the sale of electricity 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	<input type="checkbox"/>	<input type="checkbox"/>
(C) The required disclosure statement and price comparison will be used in accordance with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(D) Adequate processes and controls, designed to ensure that the internet contracting process is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input type="checkbox"/>

<b>12. Verification</b>	Yes	N/A
(A) No verification representative acting on behalf of the Retailer will be remunerated in a manner contrary to any applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(B) All verification representatives acting on behalf of the Retailer have undergone training and testing in accordance with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(C) All verification representatives acting on behalf of the Retailer have been instructed to do so using the verification call script approved by the Board	<input type="checkbox"/>	<input type="checkbox"/>
(D) Adequate processes and controls, designed to ensure that each verification call made or received by the Retailer (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	<input type="checkbox"/>	<input type="checkbox"/>
(E) Adequate processes and controls, designed to ensure that the verification of electricity contracts with consumers is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input type="checkbox"/>

<b>13. Contract Renewals and Extensions</b>	Yes	N/A
(A) All contract renewal/extension offers, contract renewal/extension forms and promotional material pertaining to the renewal/extension of electricity 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	<input type="checkbox"/>	<input type="checkbox"/>
(B) The required disclosure statement and price comparison will be used in accordance with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(C) All salespersons conducting telephone renewals on behalf of the Retailer have undergone training and testing in accordance with all applicable legal and regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>
(D) All salespersons conducting renewal calls on behalf of the Retailer have been instructed to do so using the renewal call script approved by the Board	<input type="checkbox"/>	<input type="checkbox"/>
(E) Adequate processes and controls, designed to ensure that each renewal/extension call made or received by the Retailer (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	<input type="checkbox"/>	<input type="checkbox"/>
(F) Adequate processes and controls, designed to ensure that the renewal/extension of electricity contracts with consumers is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input type="checkbox"/>

<b>14. Contract Amendments</b>	Yes	N/A
(A) Adequate processes and controls, designed to ensure that the amendment of any electricity contract with a consumer is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input type="checkbox"/>

15. Cancellations and Retractions	Yes	N/A
(A) Adequate processes and controls, designed to ensure that the cancellation of any contract with a consumer 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	<input type="checkbox"/>	<input type="checkbox"/>
(B) Adequate processes and controls, designed to ensure that the retraction of the renewal/extension of any electricity contract by a consumer 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	<input type="checkbox"/>	<input type="checkbox"/>
(C) Adequate processes and controls, designed to ensure that each cancellation call and each retraction call received by the Retailer 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	<input type="checkbox"/>	<input type="checkbox"/>

16. Complaint Handling	Yes	N/A
(A) Adequate processes and controls are in place to ensure that consumer complaints alleging non-compliance with any applicable legal or regulatory requirement can be received and are reviewed by the Retailer in a timely manner	<input type="checkbox"/>	<input type="checkbox"/>
(B) Adequate processes and controls are in place to ensure that remedial action is taken in a timely manner to address consumer complaints referred to in (A) above, with the consumer and/or with any person that is the subject of the complaint	<input type="checkbox"/>	<input type="checkbox"/>

Date of Filing:

\_\_\_\_\_  
Signature

Title

**Notes:**

1. In accordance with section 6.3 of the Board's Electricity Retailer Code of Conduct, this Certificate must be signed by the Retailer'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.