

## Electricity Retailer Certificate of Compliance

### Under Section 6.1 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 ECPA Date;

"Effective Certification Date" means the later of the Effective ECPA Date and the date on which this Certificate is signed by the Retailer and filed with the Board;

"Effective ECPA Date" means January 1, 2011;

"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 Part 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 In this Certificate, "N/A" in relation to a given statement means that the Retailer 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 Certificate pertain to retailing to low volume consumers.

## Part II: Certification

I, Laura Jurasek, Regulatory Compliance Officer, Sunwave Gas & Power Inc. ER-2017-0021

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

### Confirmation of Retailing Activities

**The channels that the Retailer intends to use for the purpose of retailing electricity as of the Effective Certification Date are the following:**

	Yes	No
(A) Door-to-Door	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(B) Exhibitions	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(C) Trade shows	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(D) Direct Mail	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(E) Retailer's place of business	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(F) Internet	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(G) Telephone Renewals	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(H) Other (please specify below)	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Sunwave had no new contracts for 2017 but will do Appointment Setting for Large Commercial.

<b>Certificate of Compliance</b>		
<b>1. 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 checked="" 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 checked="" 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 checked="" type="checkbox"/>
(D) The Retailer'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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(E) 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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>2. 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 on and after the Effective Certification Date	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(B) 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
(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	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>3. 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 checked="" 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 on and after the Effective Certification Date	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(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	<input type="checkbox"/>	<input checked="" type="checkbox"/>

<b>4. Verification</b>	Yes	N/A
(A) No verification representative acting on behalf of the Retailer will be remunerated on and after the Effective Certification Date in a manner contrary to any applicable legal and regulatory requirements	<input type="checkbox"/>	<input checked="" 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 checked="" 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 checked="" type="checkbox"/>
(D) Adequate processes and controls, designed to ensure that each verification call made or received by the Retailer 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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(E) Adequate processes and controls, designed to ensure that the verification of electricity contracts with consumers on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input checked="" type="checkbox"/>

<b>5. 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 checked="" type="checkbox"/>
(B) 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	<input type="checkbox"/>	<input checked="" 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 checked="" 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 checked="" type="checkbox"/>
(E) Adequate processes and controls, designed to ensure that each renewal/extension call made or received by the Retailer 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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(F) Adequate processes and controls, designed to ensure that the renewal/extension of electricity contracts with consumers on and after the Effective Certification Date is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input checked="" type="checkbox"/>

<b>6. Contract Amendments</b>	Yes	N/A
(A) Adequate processes and controls, designed to ensure that the amendment of any electricity 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>