

**Gas Marketer
Certificate of Compliance
Under Section 6.2 of the Code of Conduct for Gas Marketers**

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 48 of the *Ontario Energy Board Act, 1998* and any rule made by the Board under section 44 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 Gas Marketer and filed with the Board;

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

"salesperson" has the meaning given to it in the Board's Code of Conduct for Gas Marketers;

"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 Code of Conduct for Gas Marketers.

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.

Part II: Certification

Whereas on April 5, 2018 the Gas Marketer filed with the Board a Certificate of Compliance under section 6.1 of the Code of Conduct for Gas Marketers in which the Gas Marketer indicated "no" or "N/A" in relation to one or more statements.

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

I, Laura Jurasek, Regulatory Compliance Officer, Sunwave Gas & Power Inc. GM-2017-0020

having made all necessary enquiries, certify on behalf of the Gas Marketer 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 Code of Conduct for Gas Marketers and in relation to which the Gas Marketer now intends to conduct the relevant activities.

Confirmation of Marketing Activities		
The channels that the Gas Marketer intends to use for the purpose of marketing gas 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) Gas Marketer'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

Certificate of Compliance		
9. Salespersons	Yes	N/A
(A) All salespersons acting on behalf of the Gas Marketer 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 Gas Marketer 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 Gas Marketer has been provided with an identification badge that meets all applicable legal and regulatory requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(D) The Gas Marketer'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 checked="" 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 checked="" type="checkbox"/>

10. Sales using a text-based contract	Yes	N/A
(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	<input checked="" 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 checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>

11. Sales using the internet	Yes	N/A
(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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(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	<input type="checkbox"/>	<input checked="" 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 checked="" 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 checked="" type="checkbox"/>

12. Verification	Yes	N/A
(A) No verification representative acting on behalf of the Gas Marketer will be remunerated 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 Gas Marketer 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 Gas Marketer 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 Gas Marketer (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 gas contracts with consumers is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input checked="" type="checkbox"/>

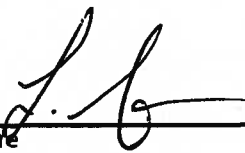
13. Contract Renewals and Extensions	Yes	N/A
(A) All contract renewal/extension offers, contract renewal/extension forms and promotional material pertaining to the renewal/extension of gas contracts with consumers have been prepared or revised in accordance with all applicable legal and regulatory requirements and only contract renewal/extension offers, renewal/extension forms and promotional material that so comply will be used	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>
(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	<input type="checkbox"/>	<input checked="" type="checkbox"/>
(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 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 Gas Marketer (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 gas contracts with consumers is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input type="checkbox"/>	<input checked="" type="checkbox"/>

14. Contract Amendments	Yes	N/A
(A) Adequate processes and controls, designed to ensure that the amendment of any gas contract with a consumer is conducted in accordance with all applicable legal and regulatory requirements, are in place	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>
(B) Adequate processes and controls, designed to ensure that the retraction of the renewal/extension of any gas 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 checked="" type="checkbox"/>	<input type="checkbox"/>
(C) Adequate processes and controls, designed to ensure that each cancellation call and each retraction call received by the Gas Marketer 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 checked="" 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 Gas Marketer in a timely manner	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>

Date of Filing:



Signature

Title

Notes:

1. In accordance with section 6.3 of the Board's Code of Conduct for Gas Marketers, this Certificate 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.