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**Commission de l'énergie
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March 29, 2018

Ms. Kirsten Walli
Board Secretary
Ontario Energy Board
P.O. Box 2319
2300 Yonge Street, Suite 2700
Toronto ON M4P 1E4

Dear Ms. Walli:

**Re: Summitt Energy Management Inc. on behalf of Summitt Energy LP
Applications for Electricity Retailer and Gas Marketer Licence
OEB File Numbers EB-2018-0099 and EB-2018-0100**

In accordance with the Notice of Application and Written Hearing, please find enclosed OEB staff's Interrogatories filed in confidence for the above mentioned applications.

Yours truly,

Original signed by

Irina Kuznetsova
Case Manager

Attachment

OEB Staff Interrogatories

**Summitt Energy Management Inc. on behalf of
Summitt Energy LP
(Summitt Energy)**

**Electricity Retailer Licence Renewal Application
EB-2018-0099**

**Gas Marketer Licence Renewal Application
EB-2018-0100**

March 29, 2018

1. Ref: Section 11(b) – Detailed description of the applicant’s current business activities.
 - a. Describe Summitt Energy’s current business model.
 - b. Describe Summitt Energy’s current approach to customer acquisition.
 - c. Provide a detailed description of the marketing/advertising campaign that Summitt Energy is using or intends to use for customer acquisition.
 - d. Provide a detailed description of Summitt Energy’s strategy for utilizing the sales channels it currently uses (as identified in Summitt Energy’s self-certification) or intends to use in the future.
 - e. Provide details of all products Summitt Energy offers or intends to offer to its customers.
 - f. Explain how the commodity pricing (by commodity type) is determined for Summitt Energy’s product offerings.

2. Ref: Section 11(c) of the Gas Marketer and Electricity Retailer Licence Applications – Description of the applicant’s corporate organization and the applicant’s relationship with its affiliates.
 - a. Describe Summitt Energy’s relationship with its affiliates and associated entities.
 - b. Provide a brief description of each entity’s type of business.

3. Ref: Section 13– Technical Resources
 - a. Does Summitt Energy acquire services from third party providers, such as EBT, billing and settlement services, agents acting on behalf of Summitt Energy? If yes,
 - i. Provide specifics for the services provided by the third party providers and reasons for outsourcing these functions.
 - ii. Provide detailed information on the service providers.
 - iii. Explain how confidentiality of customer information is ensured?
 - iv. Explain how the accountability to comply with legal and regulatory obligations by the third party providers is ensured? Explain how the obligations of the third party providers are monitored?
 - v. What type of training (if any) is provided to Summitt Energy staff and third party providers in relation to compliance with the legal and regulatory

obligations in the Ontario energy market?

b. Third Party Verification of Contracts.

- i. Provide information on the third party/parties that is/are or will be contracted by Summitt Energy to conduct verification of the contracts.
- ii. Explain how regulatory obligations of the third party contact verification providers are monitored by Summitt Energy?

4. Ref: Section 14 g) of the Licence Applications – Customer complaints filed with the OEB within at least the last 2 years.

In addition to the number of complaints, this section requires the applicant to provide appropriate context to the number of complaints received. Apart from percentage of customer complaint over signed contracts, no context has been provided with the application.

- a. Provide appropriate context to the number of complaints received.
- b. Describe the processes and procedures in place or to be put in place to expeditiously investigate and resolve complaints as required in the Code of Conduct for Gas Marketers and Electricity Retailer Code of Conduct.

5. Ref: Section 14 e) of the Gas Marketer and Electricity Retailer Licence Application Forms – Penalties, Fines, Voluntary Payments as a result of an investigation or any other disciplinary actions by a regulatory body in Ontario and/or other jurisdiction within North America in the past 5 years.

In 2014, the OEB conducted a review of marketing and promotional materials used by Summitt Energy when marketing to low-volume consumers. The inspection was conducted in order to ensure Summitt Energy's compliance with various enforceable provisions of the *Energy Consumer Protection Act, 2010* (ECPA), Ontario Regulation 389/10 made under the ECPA and the *Electricity Retailer Code of Conduct and Code of Conduct for Gas Marketers*. The inspection revealed a number of cases of non-compliance and Summitt Energy provided a written Assurance of Voluntary Compliance (Assurance) to the OEB on October 16, 2014 admitting the findings.

- a. Describe Summitt Energy's plan to ensure compliance with its legal and regulatory obligations in Ontario. In your response describe the staff, policies, processes and procedures in place or to be put in place to ensure compliance. Please provide the names and titles of all individuals that are or will be accountable for compliance, complaint handling and quality assurance and describe fully their expertise in this area. Please include work experience descriptions of these individuals with the response to these interrogatories.
- b. Identify the key individual(s) accountable directly or indirectly for compliance.

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