

July 22, 2019

Nicole Black
Senior Manager, Government and Regulatory Affairs
Direct Energy Marketing Limited
2500, 530 - 8th Avenue S.W.
Calgary, Alta. T2P 3S8

Dear Ms. Black,

No penalties issued for four self-reported contraventions

1. On June 4, 2019, Direct Energy Marketing Limited (Direct Energy) self-reported several contraventions to the Alberta Utilities Commission under AUC Rule 032: *Specified Penalties*. AUC Rule 032 went into effect January 1, 2019. This rule provides that the Commission may consider the following when making the decision on whether to issue a specified penalty:

- a. The impact on any person adversely affected by the contravention;
- b. The number of persons affected by the contravention;
- c. The timeliness of the action taken by the person who committed the contravention to address the conduct, activity or omission that resulted in the contravention;
- d. The level of satisfaction of the person affected by the contravention resulting from any action taken by the person who committed the contravention;
- e. If the conduct, action, or omission that resulted in the contravention was an isolated instance or a recurring problem; or
- f. Any action taken by the person who committed the contravention to ensure compliance in the future.

2. The Commission has determined that it will not issue penalties for the following self-reported events for the following reasons:

- a. [REDACTED]: The bill errors which caused the referral to a collections agency occurred before AUC Rule 032 took effect and Direct Energy took quick action to remedy the matter.
- b. [REDACTED] and [REDACTED]: In each of these circumstances, the customer was in arrears and failed to make payments by the agreed upon specified dates.

Sincerely yours,

Fino Tiberi
Executive Director, Market Oversight and Enforcement