

Public Notice of Specified Penalty

Date of issue: November 7, 2019	Payment due date: December 9, 2019	AUC penalty number: AUC2019-073
Entity required to pay: Direct Energy Marketing Limited		Total penalty amount: \$2,425 Amount per day (if applicable):
Amount payable to General Revenue Fund: \$2,425		Customer name: ██████████ Customer Site ID: ██████████

Contravention date(s): May 25, 2019	AUC rule(s) contravened: AUC Rule 003, Subsection 3.4.1(3)	Contravention(s) within the 120-day rolling period: Eleventh
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Description of conduct that resulted in the contravention	<p>AUC Rule 003: <i>Service Standards for Energy Service Providers</i>, Subsection 3.4.1(3) states: An ESP must not request the disconnection of a customer unless (a) the customer requests the disconnection; (b) the customer's account is in arrears and the disconnection will occur within the permissible disconnection period; (c) the customer is receiving electricity or gas service but fails to provide information or provides incorrect information for billing purposes and the disconnection will occur within the permissible disconnection period; or (d) the premises or property served by a site reasonably appears to be vacant or unoccupied.</p> <p>Direct Energy Regulated Services (DERS) self-disclosed that it had requested the disconnection of a customer in error. A customer had contacted DERS on May 25, 2019 requesting that a site be disconnected for July 1, 2019. However, DERS sent a de-energize request to the distributor that same day on May 25, 2019, that resulted in the site being disconnected in error on May 28, rather than for the customer requested date of July 1, 2019. The site was re-energized on May 30, 2019.</p>									
Facts relied upon	DERS self-disclosed that it had contravened AUC Rule 003, Subsection 3.4.1(3). DERS stated that it had paid the customer a \$150 service guarantee as required by Subsection 3.4.2(1) of AUC Rule 003. The Commission is satisfied that a contravention has occurred.									
Adjustments made to specified penalty	<table> <tr> <td>Eleventh contravention of AUC Rule 003, Subsection 3.4.1(3) within 120 days</td> <td>\$5,000</td> </tr> <tr> <td>Payment of service guarantee to customer</td> <td>(\$150)</td> </tr> <tr> <td>*Reduction for voluntary disclosure</td> <td>(\$2,425)</td> </tr> <tr> <td>The final adjusted penalty amount</td> <td>\$2,425</td> </tr> </table>		Eleventh contravention of AUC Rule 003, Subsection 3.4.1(3) within 120 days	\$5,000	Payment of service guarantee to customer	(\$150)	*Reduction for voluntary disclosure	(\$2,425)	The final adjusted penalty amount	\$2,425
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Payment of service guarantee to customer	(\$150)									
*Reduction for voluntary disclosure	(\$2,425)									
The final adjusted penalty amount	\$2,425									
Payment of service guarantee: Yes										
Self-disclosed: Yes	*The Commission has further reduced the penalty by 50 per cent because the contravention was voluntarily disclosed and the actions taken by the entity subsequent to its becoming aware of the contravention.									
Commission order	<p>The Commission orders that \$2,425 be paid to the General Revenue Fund, further to Section 63.1(5) of the <i>Alberta Utilities Commission Act</i>.</p> <p>Mark Kolesar, Chair Signature: <u> (original signed) </u> Date: <u>November 7, 2019</u></p>									
Payment instructions	<p>Payments made to the General Revenue Fund are to be made payable to the "General Revenue Fund c/o Minister of Finance." All payments to the General Revenue Fund are to be made by cheque or certified funds and delivered to the Alberta Utilities Commission at: 1400, 600 Third Avenue S.W., Calgary, Alberta, T2P 0G5, and must reference the AUC penalty number.</p> <p>All other payments are to be made payable to the person(s) named above in "Amount payable to." If the person named above is a customer of the utility, then the amount payable may be credited to that person's utility account. For all other circumstances, including payment to a third party, the amount payable must be made to the person named by cheque, certified funds or electronic funds transfer. A copy of the payment or credit with reference to the AUC penalty number must be provided to the Alberta Utilities Commission by email at enforcement@auc.ab.ca.</p> <p>Questions can be directed to enforcement@auc.ab.ca, 310-4AUC in Alberta or 1-833-511-4282 outside of Alberta.</p>									
Dispute or failure to pay	A party may dispute this notice prior to the payment due date by notifying enforcement@auc.ab.ca . Dispute of this notice or failure to pay the total penalty amount by the due date will result in a hearing or other proceeding before the Commission.									