



Marketing Standards Quality Assurance Plan

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Training of All Company Employees and Representatives

All Employees and Representatives of New Wave Energy Corporation will go through this series of training and testing on material pertaining to the company's Marketing Standards Quality Assurance Plan. A copy of this plan and the Uniform Business Practices Handbook will be provided to all parties and parties will be tested on the material before Representing New Wave Energy Corporation in any capacity.

Training of Marketing Representatives

- 1.) New Wave Energy assures that every representative of the company will go through extensive training of New York State's Energy Market and the Uniform Business Practices it follows. A copy of the Uniform Business Practices (UBP) as set forth by the State of New York's Public Service Commission ("Commission") will be given to all representatives to study and to be trained on, particularly Section 10 of the UBP, as it directly correlates with our Marketing Standards Quality Assurance Plan.
- 2.) Representatives will be trained on all of New Wave Energy Corporations products and services that are offered, coupled with the different stipulations that come along with each product. We offer a wide variety of options for electric and natural gas supply including but not limited to: variable rates, fixed-rates, a combination of variable and fixed-rates, green options (dedicated to purchasing from more renewable and environmentally friendly forms of generation; including wind, hydro, solar, etc.), co-operative purchasing plans, and other products custom tailored to the needs of each individual customer.
- 3.) The Representatives will go through an extensive training program that will ensure the comprehension and full scale knowledge of New Wave Energy's rates, payment options, and cancellation policies and how each apply differently to the type of program the customer chooses. The customers will be made well aware that they have the right to cancel service from New Wave Energy at any time and can choose another ESCO or their local utility for supply service at any time. Customers will know their right to cancel, as well as any and all early termination fees, which may apply to each different product.
- 4.) Representatives will receive a copy of the Home Energy Fair Practices Act (HEFPA) documents and will study and be tested on the guidelines of this Act. Each representative will know these documents pertaining to the rights of the customers in budget billing options, financial assistance, billing assistance, etc. and will be able to help customers asses their needs and options regarding the Home Energy Fair Practices Act and energy choice options.
- 5.) The Representatives will have full knowledge in regards to handling any questions or concerns a customer may have, and if the respective representative is not able to answer specific inquiries, they will be equipped and trained to provide the correct contact information (web-site, phone number, government agency, etc.) as to where the correct information can be obtained. Representatives will have access to all of our material including company contact numbers and information and know about our procedures in guiding customers through our process of handling billing questions, disputes and/or complaints. Our representatives will have to pass a variety of training procedures and then will be tested on our company information and regulations that they will need to follow before successfully representing New Wave Energy Corporation.



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- 6.) The representative shall provide each prospective residential customer or customer that is marketed to via door to door marketing, with a copy of the ESCO Consumers Bill of Rights, before the marketer makes his or her sales presentation.

Interaction and Contact with Customers

1. In-Person Contact with Customers

- A. Presentation of Identification, which is to be visible at all times. Representatives of New Wave Energy Corporation who will be offering our products to potential customers will have gone through extensive training and will be provided with a Registered Employee Identification Badge (I.D. Badge):
- 1.) The Badge will have a the full name and employee identification number on the badge.
 - 2.) The badge will contain a clear photograph of the representative with trade name, and company logo clearly visible on the badge.
 - 3.) The Badge will also contain the New Wave Energy's telephone numbers, email addresses, and web-site which can be contacted for questions, comments, and/or complaints.
- B. Representatives shall make sure the customer knows that they are with New Wave Energy, an ESCO, and alternative energy supplier and will not identify themselves as a representative from their local utility company. The representative will establish the differences between New Wave Energy Corp and the local utility company and describe difference in the services each provides. Also, the fact that the utility will continue to deliver services, maintain infrastructure, and handle emergencies while New Wave Energy Corp is an ESCO and will purchase the electricity and/or natural gas supply and transfer to the utility which will still deliver to the customer or end-user, will be explained. The customer will be made aware that we have a Frequently Asked Questions marketing piece for their viewing that may answer any questions they may have or we will refer them to the New York State PSC's web-site or; customer service line or; even to their local utility for information on choosing an ESCO. Our representatives will be trained on all of these various procedures and will be familiar with the expectations and guidelines listed above to be able to walk the customers through this process step-by-step.
- C. Representative will never claim that they are acting on behalf of the utility and shall make clear the difference between the ESCO and Utility, and also will clearly state that by changing to an ESCO for your supply service; it will not affect the distribution service they receive from the utility. The utility will still continue to provide the same service as it has in the past, however the customer will be told "by signing up with New Wave Energy as your ESCO, they will purchase your energy supply for you using various forms of generation."
- D. Representative will respect the rights of customers and if/when they are asked to leave, they shall remove themselves from the premises immediately. The representatives will have the I.D. Badge on with New Wave Energy's information on it for the customer to use in the event of any misconduct, misrepresentation, or any issues they may have with the representative or company itself. New Wave Energy Corporation maintains an internal process for dealing with complaints, and any misconduct by a representative. If in violation of any rules, regulations or internal procedures, the respective representative will be dealt with accordingly.
- E. Representatives will be provided with informational material to present to the customers, the information contained in this material will be about our products, scope of service, FAQs, policies, and include phone numbers, fax numbers, email addresses, and web-sites where the correct department at New Wave Energy Corporation can be reached for questions or comments on service, billing issues, and complaints.
- F. In the instance that a customer's English language skills are low or insufficient, the representative shall seek another representative in the area who is fluent in this language or to stop the conversation until someone who is fluent in this



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language can be reached to continue dialogue or use a translation service or language identification card. No customer will be forced into accepting service without their full consent and our representatives at New Wave Energy will abide by this.

They are to follow all rules and regulations from the Company, State, the Department, and policies listed in the Uniform Business Practices manual.

2. Telephone Contact

Employees or Representatives from New Wave Energy Corporation who use the telephone to contact potential customers shall:

- A. State the name of the ESCO they are calling with their name and if asked, their employee identification number. They will respect the customers and make them aware of the type of company they are with and the scope of service that they provide.
- B. Representatives will make it clear that they are calling on behalf of New Wave Energy an ESCO and establish the difference between ESCO's and the services they provide compared to the Utility and the services they provide. They will provide the customer with any information they may ask for including information from the utility or PSC in regards to their supply choice options.
- C. The solicitation will be designed to comply with the provisions of UBP Section 5, Attachment 1 A-D and Section 10, ESCO Consumer Bill of Rights.
- D. At no time will the representative speak or act on behalf of the utility company and will explain to the customer that by switching to an ESCO for their energy supply, it will not change the way their energy is delivered and explain that the Utility will still handle the lines, wires, pipes, infrastructure, and emergency services but by switching to an ESCO, their supply would be bought by the ESCO and transferred to the Utility who would then transfer and deliver it to the customer or end user. For further questions they will be referred to the utility or PSC web-site or customer service lines.
- E. The representative will give a clear statement as to the nature of the call and the scope of services that New Wave Energy will provide. If the customer is interested or asks for more information, the representative will be able to provide the customer with their request or will lead them in the best direction possible, to the best of their ability. If the customer asks to be taken off the call list, the representative shall do so immediately and will not contact that customer anymore with respect to the rights of the customer.
- F. When it is apparent that the customer is unable to speak English or can do so insufficiently, the call shall be terminated and will not be contacted until an authorized representative can speak the language of the customer fluently or a translation service can be used. A customer who does not speak fluent English will not be forced into anything and will not be contacted unless a solution to the language barrier is met including: another representative who speaks this language contacts them or a translation service is used.

3. Conduct of Employees and Marketing Representatives

Employees and Marketing Representatives from New Wave Energy Corp:

- A. Will not engage in any misleading or deceptive conduct as defined by State or Federal Law, or by Commission rule, regulation or order. The customer will be made aware that representatives are representing New Wave Energy an ESCO and are not a representative from any other agency including the local utility. The representative and New Wave Energy's



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information will be given out to the potential customer and provided the PSC's customer service line for questions or comments to the nature of our business.

- B. Employees and/or representatives from New Wave Energy will be held to the highest standards and will identify themselves as a representative of New Wave Energy, an ESCO, and establish to the customer that they are not representatives of the local utility company and make sure the customer understands the ESCOs scope of service before going any further. No promises of savings or guarantees to the customers will be made and it will be explained that we can only use our knowledge of past performance in the market to best consult our customers on how to purchase energy for the future.
- C. Representatives will have the all informational and marketing forms available to send to the customer via fax, email, regular mail, or any other means necessary. These forms in place to give a clear breakdown of the services we offer and also provide our contact information if the customer has any questions or comments. Customers can contact us at our web-site, email, mailing address or phone numbers provided. Contact information and any other forms or information will be available on the internet.
- D. Representatives will make the best efforts to provide accurate and timely information about each of our products. Our rates and terms of service are based on which type of service the customer chooses, (fixed price, variable price, a combination of fixed and variable, a green option, etc.) the terms and conditions, early termination, and cancellation fees will be clearly outlined in our sales agreement and representatives will have full knowledge of how these different terms coincide with the different products and will utilize the Uniform Business Practices in referencing these issues.
- E. Representatives will know that every offer made by New Wave Energy will be written in plain language and will have training in regards to the Sales Agreement, to be able to walk customers through the Sales Agreement and explain every aspect of the agreement. There will be no hidden terms and conditions as everything will be clearly listed on the Sales Agreement and the customers will be made well aware of all options, cancelation policies, early termination fees, etc. There will be no misrepresentation of service and promise or guarantee of savings. The representatives will make it clear to the customer that the energy market like every market is unpredictable and can change at any time, therefore no savings will be guaranteed. New Wave Energy is only capable using our knowledge, past-experience, and day-to-day evaluation of the market to most accurately advise our customers on how to purchase their electricity and/or natural gas.
- F. Every customer inquiry or complaint shall be handled in a timely fashion (within five (5) days) and will further be noted in their customer file to mitigate against future discrepancies of the same nature. New Wave Energy will provide the customer with all information requested from our company as well as contact information to their utility and the NYS PSC as well. Any questions or complaints will be handled internally as well as with local and federal regulators, if required.
- G. All employees and representatives will comply with and cooperate with the Department and PSC regarding marketing practices proscribed by the UBP and with local law enforcement in investigations concerning deceptive marketing practices.

4. Door-to-Door Marketing (DTD)

- A. This applies to DTD sales as codified in Section 426 of the NYS Personal Property Law, and are generally defined to mean a sale, lease or rental of consumer goods or services in which the seller or his representative personally solicits the sale, including those in response to or following an invitation by the buyer, and the buyer's agreement or offer to purchase is made at a place other than the place of business of the seller.
- B. All DTD sales representatives will, to the maximum possible extent, be retained as employees of New Wave Energy Corp. and will be primarily compensated by salary rather than on a commission basis.
- C. The training for DTD salespersons will, in addition to covering the items listed in Section II above, emphasize the provisions of UBP Section 10.C.1.



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- D. The following standards will also be emphasized and incorporated in the solicitation script: the need to produce and make visible the New Wave Energy Corp. photo-ID; provide a copy of the ESCO Consumer Bill of Rights; the salesperson shall inform the customer that he/she represents New Wave Energy Corp., an independent energy marketer; inform the customer that the customer's utility will continue to deliver their energy and will respond to any leaks or emergencies; the obligation to provide the customer with written information regarding New Wave Energy Corp.'s products and services immediately upon request which shall include New Wave Energy Corp.'s name and telephone number for inquiries, verification and complaints; and where it is apparent that the customer's English language skills are insufficient to allow the customer to understand and respond to the information conveyed by the representative or where the customer or another third party informs the representative of this circumstance, the representative shall either find a representative in the area who is fluent in the customer's language to continue the marketing activity in his/her stead or terminate the in-person contact with the customer.
- E. The sales person will also be instructed regarding the provisions of Section 426-431 of the NYS Personal Property Law.
- F. All materials and agreements provided to the customer will comply with and be provided to the customer in conformance with the UBP, including Sections 5, Attachment 3 A-B and Section 10: and Sections 426-431 of the NYS Real Property Law.
- G. A new salesperson will be accompanied by a Supervisor during their initial marketing visit to ensure that the salesperson conducts the solicitation in accordance with New Wave Energy Corp.'s standards. The salesperson will be informed of any deficiencies and the corrective action (s) to be taken.
- H. All marketing teams will be sent out under the supervision of a Team Supervisor, who will be available to respond to questions and inquiries.
- I. All representatives must perform verifications through either third party verification companies hired by New Wave Energy Corp. or an automated voice verification system owned and operated by New Wave Energy Corp.. All recordings and TPV will follow the requirements codified in the UBP and will be designed to confirm the customer's intent to either initiate and enroll supply service with New Wave Energy Corp. or continue or modify the service they receive from New Wave Energy Corp.. New Wave Energy Corp. will design and review the script used for such DTD verification.
- J. New Wave Energy Corp. will on a random and regular basis conduct in-field reviews of the DTD solicitations to ensure that the representatives are following the standards codified in the Program. In the event problems are discerned, the representative will be informed of any deficiency and advised that he /she may be terminated if the deficiency is not immediately corrected. New Wave Energy Corp. will work with the representative to address any identified deficiency. New Wave Energy Corp. will reserve the right to immediately terminate the representative if it determines that the representative's behavior or attitude is incompatible with New Wave Energy Corp.'s quality control standards.
- K. New Wave Energy Corp. will on a random and regular basis review a meaningful sample of verifications to ensure that the representatives are following the standards codified in the Program. In the event problems are discerned, the representative will be informed of any deficiency and advised that he /she may be terminated if the deficiency is not immediately corrected. New Wave Energy Corp. will work with the representative to address any identified deficiency. New Wave Energy Corp. will reserve the right to immediately terminate the representative if it determines that the representative's behavior or attitude is incompatible with New Wave Energy Corp.'s quality control standards.
- L. New Wave Energy Corp. will design and review the marketing script and verifications to be used for all DTD sales solicitations.
- M. The DTD salesperson shall be required to wear a shirt and/or jacket provided by New Wave Energy Corp. that contains the New Wave Energy Corp. logo and otherwise dress in a neat and presentable manner.
- N. The DTD salesperson shall be required to wear in a conspicuous location the New Wave Energy Corp. photo-ID.



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4. Dispute Resolution

- A. New Wave Energy Corp will maintain an internal process to handle customer complaints and dispute issues which arise from any and all marketing activities with its employees and representatives. Representatives of New Wave Energy will be made aware of the consequences of misrepresenting the company and any and all procedures New Wave Energy has established to deal with such actions. All marketing material or informational documents in the form of brochures, pamphlets, mail outs, emails, web-site information, etc that bears the name of New Wave Energy must be approved by New Wave Energy's Legal Department. Any disputes including those forwarded by the Department or PSC will be handled promptly in coordination with company policy and it's Code of Conduct.
- B. Any and all other disputes will be handled in coordination with documents entitled "**Agent Code of Conduct**" and "**Customer Rights and Responsibilities**".