

MARKETING STANDARDS QUALITY ASSURANCE PLAN

Marketing Standards Quality Assurance Plan for NOCO Natural Gas LLC and NOCO Electric LLC

Quality Assurance

NOCO Natural Gas LLC and NOCO Electric LLC do not utilize outside marketing companies to sell its products. We do not use telemarketing as part of our marketing practice.

All contact with customers and prospective customers are handled by NOCO Energy Corporation employees. All requests, whether submitted via phone, email, or mail, are responded to by NOCO Energy Corporation employees.

The sales and customer service process is coordinated and overseen by the Assistant Vice President of Natural Gas and Electric Sales, Pierre Aubertin. The Assistant Vice President of Natural Gas and Electric Sales ensures all points of contact meet NOCO's standards for quality customer care and the guidelines set forth within the most recent Uniform Business Practices.

All phone calls are recorded with customers and prospective customers to ensure quality assurance.

All customer and prospective requests are responded to immediately. Email communication is responded to within 24 hours and we strive to achieve customer satisfaction and resolution within 3 business days from date of notification. If for whatever reason resolution takes longer, the customer or prospect is kept informed of the timeline.



Date: 10/19/2020
To: All Energy Consultant Team
From: Pierre Aubertin
Re: NOCO'S Quality Assurance Program

Please see the below information from the Uniform Business Practice (Case 98-M-1343). These are the current standards that NOCO is required to abide by. Please take an opportunity to read and please sign at the indicated place. Please return to me no later than _____. If you have any questions or concerns, please don't hesitate to ask.

SECTION 10: MARKETING STANDARDS

A. Applicability

This Section describes the standards that ESCOs and ESCO marketing representatives must follow when marketing to customers in New York.

B. Training of Marketing Representatives

ESCOs shall ensure that the training of their marketing representatives includes:

1. Knowledge of this Section and awareness of the other Sections of the New York Uniform Business Practices;
2. Knowledge of the ESCO's products and services;
3. Knowledge of ESCO rates, payment options and the customers' right to cancel, including the applicability of an early termination fee;
4. Knowledge of the applicable provisions of the Home Energy Fair Practices Act that pertains to residential customers; and,
5. The ability to provide the customer with a toll-free number from which the customer may obtain information about the ESCO's mechanisms for handling billing questions, disputes, and complaints.
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.

C. Contact with Customers

1. In-Person Contact with Customers

ESCO marketing representatives who contact customers in person at a location other than the ESCO's place of business for the purpose of selling any product or service offered by the ESCO will, as soon as possible and prior to describing any products or services offered for sale by the ESCO:

- a. Produce identification, to be visible at all times thereafter, which:
 - i. Prominently displays in reasonable size type face the full name of the marketing representative;
 - ii. Displays a photograph of the marketing representative and depicts the legitimate trade name and logo of the ESCO they are representing;
 - iii. 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.
 - iv. Provides the ESCO telephone number for inquiries, verification and complaints.
- b. Shall identify the ESCO which they represent as an independent energy marketer, and shall identify him or herself as a representative of that specific ESCO. During the sales presentation, the marketing representative must also state that if customer purchases natural gas and/or electricity from the ESCO, that the customer's utility will continue to deliver their energy and will respond to



any leaks or emergencies. This requirement may be fulfilled either (a) by an oral statement by the ESCO marketing representative, or (b) by written material left by the ESCO marketing representative. Further, ESCOs that are affiliates of distribution utilities should not describe or disclose their relationship to the distribution utility unless such information is specifically requested by the customer.

- c. Never represent that the ESCO marketing representative is an employee or representative or acting on behalf of a distribution utility. In addition, the ESCO marketing representative must clearly indicate that taking service from an ESCO will not affect the customer's distribution service and such service will continue to be provided by the customer's distribution utility;
 - d. An ESCO marketing representative shall leave the premises of a customer when requested to do so by the customer or the owner or occupant of the premises.
 - e. An ESCO marketing representative will provide the customer with written information regarding ESCO products and services immediately upon request which shall include the ESCO's name and telephone number for inquiries, verification and complaints.
 - f. 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 ESCO representative or where the customer or another third party informs the ESCO marketing representative of this circumstance, the ESCO marketing 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. The use of translation services and language identification cards is permitted.
 - g. The following standards will also be emphasized and incorporated in the solicitation script: the need to produce and make visible the ESCO photo-ID; provide a copy of the ESCO Consumer Bill of Rights; the salesperson shall inform the customer that he/she represents ESCO, 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 ESCO's products and services immediately upon request which shall include ESCO'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.
2. Telephone Contact with Customers
- ESCO marketing representatives who contact customers by telephone for the purpose of selling any product or service offered by the ESCO shall:
- a. Provide the ESCO marketing representative's first name and, on request, the identification number;
 - b. State the name of the ESCO on whose behalf the call is being made;
 - c. Never represent that the ESCO marketing representative is an employee or representative or acting on behalf of a distribution utility. In addition, the ESCO marketing representative must clearly indicate that taking service from an ESCO will not affect the customer's distribution service and such service will continue to be provided by the customer's distribution utility;
 - d. State the purpose of the telephone call;



- e. 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 ESCO representative or where the customer or another third party informs the ESCO marketing representative of this circumstance, the ESCO marketing representative will immediately transfer the customer to a representative who speaks the customer's language, if such a representative is available, or terminate the call; and,
 - f. Remove Customers' names from the marketing database upon Customers' request.
 - g. 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.
3. Electronic and Internet Marketing
- a. The ESCO Consumer Bill of Rights should be provided as a non-avoidable screen which residential customer must affirmatively click to verify they have seen the document prior to enrollment.
 - b. The ESCO Consumer Bill of Rights should be provided as a non-avoidable screen which residential customer must affirmatively click to verify they have seen the document prior to enrollment.
4. Conduct
- ESCOs shall:
- a. Not engage in misleading or deceptive conduct as defined by State or federal law, or by Commission rule, regulation or Order;
 - b. Not make false or misleading representations including misrepresenting rates or savings offered by the ESCO;
 - c. Provide the customer with written information, upon request, or with a website address at which information can be obtained, if the customer requests such information via the internet;
 - d. Use reasonable efforts to provide accurate and timely information about services and products. Such information will include information about rates, contract terms, early termination fees and right of cancellation consistent with Section 2 of the UBP and any other relevant Section;
 - e. Ensure that any product or service offerings that are made by an ESCO contain information written in plain language that is designed to be understood by the customer.
 - f. This shall include providing any written information to the customer in a language in which the ESCO representative has substantive discussions with the customer or in which a contract is negotiated;
 - g. Investigate customer inquiries and complaints concerning marketing practices within five days of receipt of the complaint; and,
 - h. Cooperate with the Department and PSC regarding marketing practices proscribed by the UBP and with local law enforcement in investigations concerning deceptive marketing practices.
5. Dispute Resolution
- ESCOs will maintain an internal process for handling customer complaints and resolving disputes arising from marketing activities and shall respond promptly to complaints forwarded by the Department.

Signature: _____

Printed: _____

Date: _____