

2022



# COMPLIANCE QUARTER: PROFILE



[WWW.COMPLIANCEQUARTER.COM.AU](http://WWW.COMPLIANCEQUARTER.COM.AU)

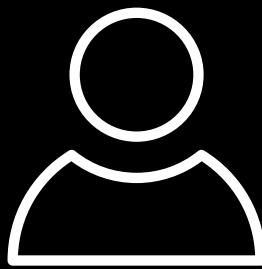
# WHY

Regulatory compliance services need to evolve at the same pace as the markets they serve. We make this possible.

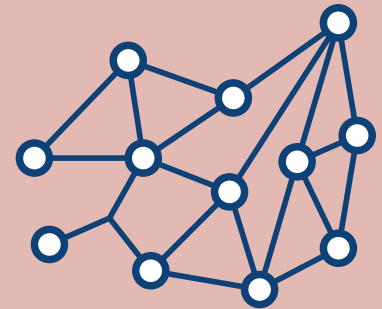
With energy expertise



With regulatory specialists



With ground-breaking systems



We make it easier for businesses under an immense regulatory burden, and we give those with the responsibility for this endless task a sense of ease and control.

The tools that we have developed and employ are explained in this document.

Compliance Quarter works with a large number of energy retailers with a focus on energy compliance. We provide a virtual compliance officer service where we ensure that our clients are aware of regulatory changes and that our clients are implementing a compliance management program.

Our passion is the evolving energy market. The integration of large-scale and embedded generation into the NEM gives rise to interesting regulatory challenges.

We enjoy complexity. We love applying existing regulatory frameworks to new and interesting business models and new services that benefit consumers, the environment, and society.

If you have a challenge for us, we would love to hear from you.

# HOW WE WORK

Each engagement is customised to ensure that we meet the needs of our clients.

We review our client's businesses and determine what resources the client needs to ensure compliance.

The resources that we provide our clients with include documents establishing a compliance framework, online and on-demand training, processes, policies and procedures.

We are often engaged to assist our clients in running Compliance Committees where new and existing regulatory obligations are considered and improvements made to our client's compliance programs.

# WHO WE WORK WITH

01

Energy regulators including the Australian Energy Regulator (AER) and Essential Services Commission (ESC) - On behalf of our clients.

02

Financial services regulators including the Australian Securities and Investment Commission (ASIC)- On behalf of our clients.

03

External top-tier law firms including on joint projects and on a collaborative basis.

04

Innovative energy businesses. Leading the transition to clean renewable energy.

# HOW WE DELIVER

Compliance HUB moves businesses away from static document-based controls to 'self-serve,' responsive and dynamic controls leaving legal and compliance professionals to focus on higher value work.

The Compliance HUB is a centralised SaaS product where obligations are identified and managed.

01

Dynamic risk-based assessment of regulatory obligations.

02

Obligations linked to controls so you can see what needs to change and when.

03

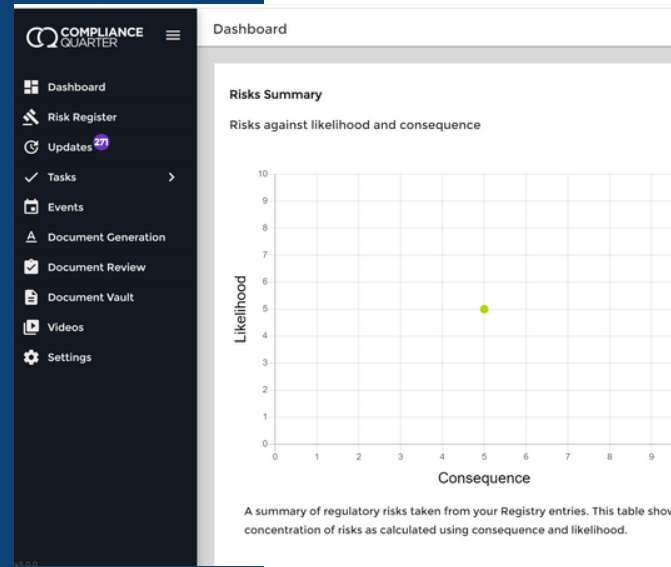
Automated document review using Titan, built in consultation with data scientists from Oxford, UK.

04

A policy and procedure 'Vault' with automatic version control.

05

Scenario based video training for front-line staff including on AFSL compliance, customer hardship, payment difficulties, EIC and more.



The screenshot shows the 'Updates' section of the dashboard. It lists 'Unread Posts' (27) and 'Archive Posts'. A featured update from 'Mar 18, 2020' is titled 'Alinta Energy Pays' and includes an image of 'F A' blocks. The text below the image reads: 'Energy retailer Alinta Energy has paid the Essential Services Commission (ESC) the Explicit Informed Consent obligations, requesting the transfer of a customer breach was that Alinta Energy's agents customers who were then switched to'. A 'Read Full Article' button is visible at the bottom right.

# CASE STUDIES



## **Case Study: Operationalising Obligations**

We were engaged by a large energy distributor to develop controls for an obligations register drafted by their external legal team. We worked with the client to develop a series of process documents, policies, procedures and guidelines that they then rolled out across the business.

## **Case Study: Retail Authorisations**

We worked with a solar PPA provider looking to expand and offer retail supply within Australia. We successfully obtained electricity authorisations and licences so that the client could retail electricity in all of the Eastern States of Australia.

## **Case Study: Compliance Manager**

We took over the function of Compliance Manager in an established electricity retailer- replacing the existing Compliance Manager who left for other employment. We were able to offer an outsourced solution to the client, providing ongoing support to the business, including via a dedicated Slack channel. We helped the client launch new retail products and further refined its compliance program.

We have provided the Compliance Manager service for several energy businesses operating within Australia.



# THE FUTURE OF REGULATORY COMPLIANCE CONSISTS OF ADVANCED SYSTEMS WORKING ALONGSIDE EXPERTS.

We have worked with some of the world's most innovative energy businesses. Our client list includes:

- Next Business Energy
- Redback Technologies
- OVO Energy
- Smartest Energy
- Energy Locals
- Transgrid
- ReAmped Energy
- YES Energy (SA)
- Redback Technologies
- Nectr
- Total Power & Gas
- Evergy
- CSR
- TallyIT
- Active Utilities
- Vector Energy
- Microgrid Power
- Cerno
- Flow Systems
- Power Club
- Tas Gas Retail