

2025

COMPLIANCE QUARTER: PROFILE



WWW.COMPLIANCEQUARTER.COM.AU

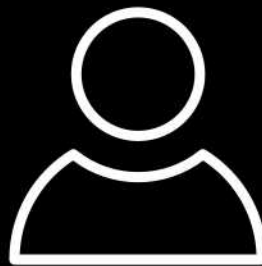
WHY

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

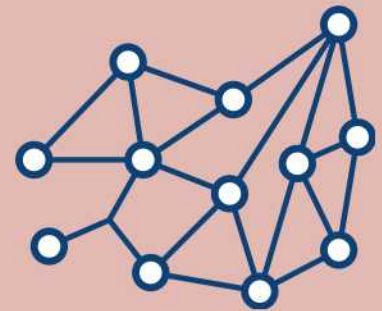
With energy expertise



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 businesses 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.

WHAT WE DO

Our practice delivers comprehensive compliance solutions encompassing compliance audits, gap analysis, training, coaching, management, and reporting, alongside bespoke regulatory projects including submissions, licence applications, and compliance reviews.

We employ an integrated approach leveraging technology, data analytics, and specialist expertise to achieve efficient, effective compliance outcomes that support business objectives whilst ensuring regulatory adherence.

Our methodology aligns with the recognised standard for compliance management systems, enabling clients to harmonise compliance initiatives with strategic goals, identify and assess compliance risks, implement appropriate controls, monitor performance, and cultivate robust compliance cultures.

Project execution follows PMBOK (Project Management Body of Knowledge) principles, ensuring disciplined delivery within agreed timeframes and budgets, complemented by transparent stakeholder communication and concise, actionable reporting.



HOW WE WORK

- We deliver bespoke compliance solutions tailored to each client's specific regulatory environment and organisational structure.
- Our core services include: establishing comprehensive compliance frameworks; conducting thorough assurance reviews; managing breach reporting and regulatory responses; delivering targeted training solutions; developing or updating governance documentation; creating simplified obligation checklists; and drafting plain English materials for new regulatory requirements.
- This flexible service model enables clients to access precisely the compliance support they require, from comprehensive framework design to targeted interventions addressing specific regulatory obligations.



HOW WE DELIVER

Titan Pro 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.

Titan is a centralised SaaS product where obligations are identified and managed.

01

Dynamic risk-based identification of regulatory obligations using LLMs and advanced methodologies.

02

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

03

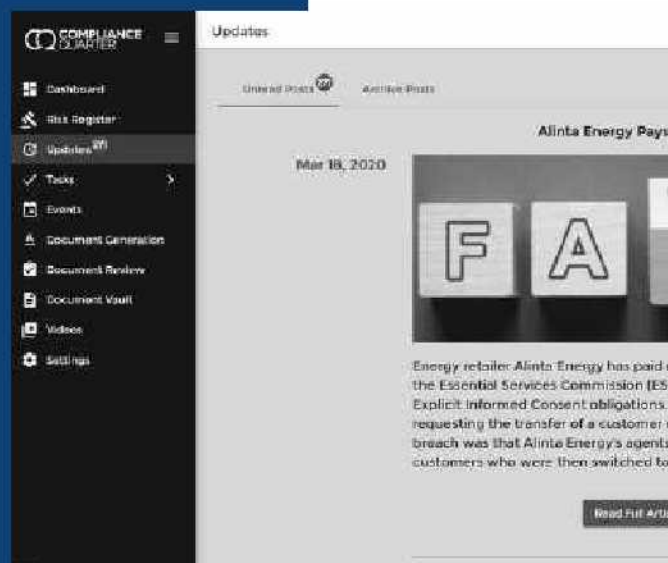
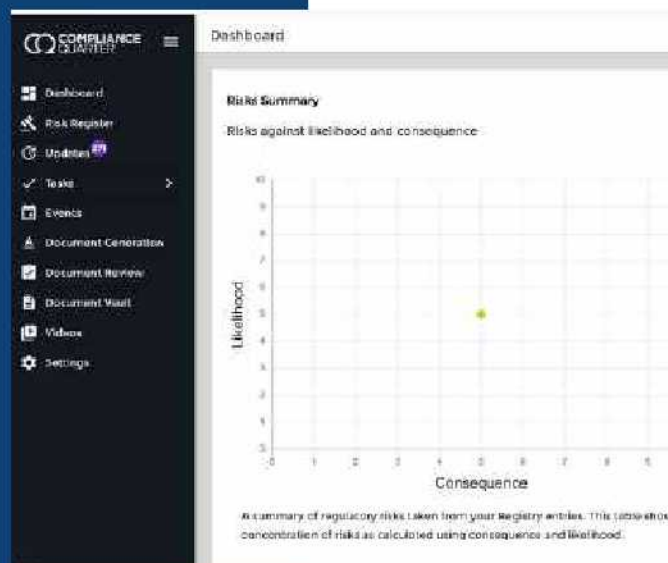
Automated document review: Titan accepts uploaded contracts and identifies red flags, risks that need to be reviewed and missing clauses.

04

An extensive vault of checklists and other resources including assessment tools.

05

Automated analysis of proposed changes to the regulatory framework with impact assessment.



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 an established international business 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.



CASE STUDIES

Case Study: Regulatory Compliance Training

We provided a comprehensive and tailored regulatory compliance training program for a new entrant in the electricity retail market. We covered topics such as the National Energy Retail Law and Rules, the Australian Consumer Law, and privacy and data protection. We delivered the training through a combination of online modules, webinars, workshops, and quizzes. We also created a training manual and a compliance handbook for the client's reference and guidance. The training program helped the client to build a strong compliance culture and awareness, and to prepare for their launch and ongoing operations.

Case Study: Data Breach Response

We assisted a business in responding to a data breach incident that affected their customers' personal information. We conducted a rapid and thorough investigation of the cause and extent of the breach, and advised the client on their notification and remediation obligations under the Privacy Act and the Notifiable Data Breaches scheme. We drafted and sent the required notifications to the affected customers and implemented measures to prevent future breaches. We also liaised with the relevant stakeholders on behalf of the client, and managed the reputation and legal risks arising from the incident.

Case Study: Compliance Audit and Improvement

We conducted a compliance audit and improvement project for an established energy retailer that was facing increased regulatory scrutiny and enforcement action. We reviewed their existing compliance policies, procedures, systems, and controls, and benchmarked them against the best industry practices and standards. We identified and prioritised the areas of improvement and risk mitigation, and developed a detailed and practical action plan for the client. We also supported the client in implementing the action plan, and monitored and reported on their progress and outcomes. We helped the client to enhance their compliance performance and maturity, and to restore their regulatory confidence and trust.

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