

OSC

ONTARIO  
SECURITIES  
COMMISSION

# Tribunal Quarterly Metrics

Q1 Fiscal 2020-2021

OFFICE OF THE SECRETARY



APPLICATIONS COMMENCED BY TYPE <sup>1</sup>	Q1	Fiscal 2019-20 <sup>2</sup>
Enforcement Proceeding	3 (6) <sup>3</sup>	24
Authorization to Disclose	3 (3)	12
Extension of Temporary Order	1 (0)	2
Hearing and Review	0 (1)	1
Further Decision/Revocation/Variation of a Decision	2 (0)	6
Transactional Proceeding	0 (1)	2
Other	0 (0)	0
<b>TOTAL</b>	<b>↓ 18 %</b> 9 (11)	<b>47</b>

APPLICATIONS CLOSED BY TYPE <sup>4</sup>	Q1	Fiscal 2019-20
Enforcement Proceeding	2 (5)	21
Authorization to Disclose	2 (6)	15
Extension of Temporary Order	0 (0)	1
Hearing and Review	0 (2)	4
Further Decision/Revocation/Variation of a Decision	0 (0)	6
Transactional Proceeding	0 (1)	2
Other	0 (0)	0
<b>TOTAL</b>	<b>↓ 71 %</b> 4 (14)	<b>49</b>

ACTIVE APPLICATIONS AT QUARTER-END <sup>5</sup>	Q1
	<b>↑ 30 %</b> 26 (20)

ORAL HEARINGS SCHEDULED BY TYPE THAT PROCEEDED <sup>6</sup>	Q1	Fiscal 2019-20
Enforcement Proceeding	16 (35)	106
Authorization to Disclose	0 (0)	0
Extension of Temporary Order	2 (2)	5
Hearing and Review	0 (6)	10
Further Decision/Revocation/Variation of a Decision	2 (0)	0
Transactional Proceeding	0 (2)	6
Other	0 (0)	0
<b>TOTAL</b>	<b>↓ 56 %</b> 20 (45)	<b>127</b>

<sup>1</sup> An application is commenced when it is filed with the Registrar.

<sup>2</sup> Reflects the sum of Q1 to Q4 in fiscal 2019-20.

<sup>3</sup> Numbers in parentheses correspond to Q1 of fiscal 2019-2020.

<sup>4</sup> An application is closed when a final order or reasons, if any, are issued, or an application is abandoned or withdrawn.

<sup>5</sup> The number of applications that are open or ongoing at quarter-end.

<sup>6</sup> The number of oral hearings scheduled that proceeded by videoconference or teleconference. Excludes written hearings.

WRITTEN HEARINGS SCHEDULED BY TYPE <sup>7</sup>	Q1	Fiscal 2019-20
Enforcement Proceeding	9 (4)	20
Authorization to Disclose	2 (6)	15
Extension of Temporary Order	1 (0)	2
Hearing and Review	1 (0)	2
Further Decision/Revocation/Variation of a Decision	0 (0)	6
Transactional Proceeding	0 (0)	0
Other	0 (0)	0
<b>TOTAL</b>	<b>↑ 30 %</b> 13 (10)	<b>45</b>

CALENDAR DAYS SCHEDULED FOR ORAL HEARINGS <sup>8</sup>	Q1	Fiscal 2019-20
	<b>↓ 52 %</b> 16 (33)	<b>93</b>

ORDERS ISSUED <sup>9</sup>	Q1	Fiscal 2019-20
	<b>↓ 34 %</b> 21 (32)	<b>117</b>

REASONS ISSUED <sup>10</sup>	Q1	Fiscal 2019-20
	<b>↓ 45 %</b> 6 (11)	<b>41</b>

AGING OF ACTIVE APPLICATIONS AT QUARTER-END BY TYPE					
	0-3 Months	3-6 Months	6-9 Months	9-12 Months	Over 12 Months
Enforcement Proceedings	3	0	5	2	6
Authorization to Disclose	1	0	0	0	1
Extension of a Temporary Order	1	1	0	1	2
Hearing and Review	0	0	0	0	1
Further Decision/Revocation/Variation of a Decision	2	0	0	0	0
Transactional Proceeding	0	0	0	0	0
Other	0	0	0	0	0
<b>TOTAL APPLICATIONS – 26</b>	<b>27%<sup>11</sup> - 7</b>	<b>4% - 1</b>	<b>19% - 5</b>	<b>12% - 3</b>	<b>38% - 10</b>
<b>AVERAGE DAYS OLD<sup>12</sup></b>	<b>27</b>	<b>97</b>	<b>208</b>	<b>299</b>	<b>571</b>

<sup>7</sup> The number of written hearings scheduled that proceeded.

<sup>8</sup> A calendar day is a day on which at least one oral hearing was scheduled that proceeded by videoconference or teleconference. Multiple hearings may occur on the same calendar day.

<sup>9</sup> The number of orders issued by the Commission.

<sup>10</sup> The number of reasons issued by the Commission.

<sup>11</sup> Reflects the percentage of applications in the time range of the total applications.

<sup>12</sup> Reflects the average number of days old of the applications in the time range.



## Contact Information

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