

OSC

ONTARIO
SECURITIES
COMMISSION

Tribunal Quarterly Metrics

Q2 Fiscal 2020-2021

OFFICE OF THE SECRETARY



APPLICATIONS COMMENCED BY TYPE ¹	Q1	Q2	Fiscal 2019-20 ²
Enforcement Proceeding	3 (6) ³	6 (6)	24
Authorization to Disclose	3 (3)	5 (3)	12
Extension of Temporary Order	1 (0)	0 (1)	2
Hearing and Review	0 (1)	1 (0)	1
Further Decision/Revocation/Variation of a Decision	2 (0)	0 (2)	6
Transactional Proceeding	0 (1)	1 (0)	2
Other	0 (0)	1 (0)	0
TOTAL	↓ 18 % 9 (11)	↑ 17% 14 (12)	47

APPLICATIONS CLOSED BY TYPE ⁴	Q1	Q2	Fiscal 2019-20
Enforcement Proceeding	2 (5)	3 (7)	21
Authorization to Disclose	2 (6)	4 (3)	15
Extension of Temporary Order	0 (0)	0 (1)	1
Hearing and Review	0 (2)	0 (1)	4
Further Decision/Revocation/Variation of a Decision	0 (0)	1 (2)	6
Transactional Proceeding	0 (1)	0 (0)	2
Other	0 (0)	1 (0)	0
TOTAL	↓ 71 % 4 (14)	↓ 36% 9 (14)	49

ACTIVE APPLICATIONS AT QUARTER-END ⁵	Q1	Q2
	↑ 30 % 26 (20)	↑ 67% 30 (18)

ORAL HEARINGS SCHEDULED BY TYPE THAT PROCEEDED ⁶	Q1	Q2	Fiscal 2019-20
Enforcement Proceeding	16 (35)	30 (21)	106
Authorization to Disclose	0 (0)	1 (0)	0
Extension of Temporary Order	2 (2)	2 (2)	5
Hearing and Review	0 (6)	0 (2)	10
Further Decision/Revocation/Variation of a Decision	2 (0)	3 (0)	0
Transactional Proceeding	0 (2)	2 (0)	6
Other	0 (0)	0 (0)	0
TOTAL	↓ 56 % 20 (45)	↑ 52% 38 (25)	127

¹ An application is commenced when it is filed with the Registrar.

² Reflects the sum of Q1 to Q4 in fiscal 2019-20.

³ Numbers in parentheses correspond to fiscal 2019-2020.

⁴ An application is closed when a final order or reasons, if any, are issued, or an application is abandoned or withdrawn.

⁵ The number of applications that are open or ongoing at quarter-end.

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

WRITTEN HEARINGS SCHEDULED BY TYPE ⁷	Q1	Q2	Fiscal 2019-20
Enforcement Proceeding	9 (4)	7 (0)	20
Authorization to Disclose	2 (6)	3 (3)	15
Extension of Temporary Order	1 (0)	1 (0)	2
Hearing and Review	1 (0)	1 (0)	2
Further Decision/Revocation/Variation of a Decision	0 (0)	0 (2)	6
Transactional Proceeding	0 (0)	0 (0)	0
Other	0 (0)	1 (0)	0
TOTAL	↑ 30 % 13 (10)	↑ 160% 13 (5)	45

CALENDAR DAYS SCHEDULED FOR ORAL HEARINGS ⁸	Q1	Q2	Fiscal 2019-20
	↓ 52 % 16 (33)	↑ 50% 27 (18)	93

ORDERS ISSUED ⁹	Q1	Q2	Fiscal 2019-20
	↓ 34 21 (32)	↑ 73% 38 (22)	117

REASONS ISSUED ¹⁰	Q1	Q2	Fiscal 2019-20
	↓ 45 % 6 (11)	↓ 22% 7 (9)	41

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	4	2	0	5	8
Authorization to Disclose	1	0	0	0	1
Extension of a Temporary Order	0	1	1	0	3
Hearing and Review	1	0	0	0	1
Further Decision/Revocation/Variation of a Decision	0	1	0	0	0
Transactional Proceeding	1	0	0	0	0
Other	0	0	0	0	0
TOTAL APPLICATIONS – 30	23%¹¹ - 7	13% - 4	3% - 1	17% - 5	44% -13
AVERAGE DAYS OLD¹²	33	132	189	300	693

⁷ The number of written hearings scheduled that proceeded.

⁸ 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.

⁹ The number of orders issued by the Commission.

¹⁰ The number of reasons issued by the Commission.

¹¹ Reflects the percentage of applications in the time range of the total applications.

¹² Reflects the average number of days old of the applications in the time range.



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