

OSC

ONTARIO
SECURITIES
COMMISSION

Tribunal Quarterly Metrics

Q3 Fiscal 2020-2021

OFFICE OF THE SECRETARY



APPLICATIONS COMMENCED BY TYPE ¹	Q1	Q2	Q3	Fiscal 2019-20 ²
Enforcement Proceeding	3 (6) ³	6 (6)	4 (7)	24
Authorization to Disclose	3 (3)	5 (3)	0 (1)	12
Extension of Temporary Order	1 (0)	0 (1)	0 (0)	2
Hearing and Review	0 (1)	1 (0)	2 (0)	1
Further Decision/Revocation/Variation of a Decision	2 (0)	0 (2)	1 (4)	6
Transactional Proceeding	0 (1)	1 (0)	0(1)	2
Other	0 (0)	1 (0)	0 (0)	0
TOTAL	↓ 18% 9(11)	↑ 17% 14(12)	↓ 46% 7(13)	47

APPLICATIONS CLOSED BY TYPE ⁴	Q1	Q2	Q3	Fiscal 2019-20
Enforcement Proceeding	2 (5)	3 (7)	4 (4)	21
Authorization to Disclose	2 (6)	4 (3)	1 (1)	15
Extension of Temporary Order	0 (0)	0 (1)	0 (0)	1
Hearing and Review	0 (2)	0 (1)	0 (1)	4
Further Decision/Revocation/Variation of a Decision	0 (0)	1 (2)	0 (4)	6
Transactional Proceeding	0 (1)	0 (0)	0 (0)	2
Other	0 (0)	1 (0)	1 (0)	0
TOTAL	↓ 71% 4(14)	↓ 36% 9(14)	↓ 40% 6(10)	49

ACTIVE APPLICATIONS AT QUARTER-END ⁵	Q1	Q2	Q3
	↑ 30% 26(20)	↑ 67% 30(18)	↑ 48% 31(21)

ORAL HEARINGS SCHEDULED BY TYPE THAT PROCEEDED ⁶	Q1	Q2	Q3	Fiscal 2019-20
Enforcement Proceeding	16 (35)	30 (21)	76 (16)	106
Authorization to Disclose	0 (0)	1 (0)	0 (0)	0
Extension of Temporary Order	2 (2)	2 (2)	0 (1)	5
Hearing and Review	0 (6)	0 (2)	4 (0)	10
Further Decision/Revocation/Variation of a Decision	2 (0)	3 (0)	1 (0)	0
Transactional Proceeding	0 (2)	2 (0)	0 (4)	6
Other	0 (0)	0 (0)	1 (0)	0
TOTAL	↓ 56% 20(45)	↑ 52% 38(25)	↑ 290% 82(21)	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⁴ An application is closed when a final order or reasons, if any, are issued, or an application is abandoned or withdrawn.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 a 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	Q3	Fiscal 2019-20
Enforcement Proceeding	9 (4)	7 (0)	2 (6)	20
Authorization to Disclose	2 (6)	3 (3)	1 (1)	15
Extension of Temporary Order	1 (0)	1 (0)	1 (0)	2
Hearing and Review	1 (0)	1 (0)	2 (1)	2
Further Decision/Revocation/Variation of a Decision	0 (0)	0 (2)	1 (4)	6
Transactional Proceeding	0 (0)	0 (0)	0 (0)	0
Other	0 (0)	1 (0)	0 (0)	0
TOTAL	↑ 30 % 13(10)	↑ 160% 13(5)	↓ 42% 7(12)	45

CALENDAR DAYS SCHEDULED FOR ORAL HEARINGS ⁸	Q1	Q2	Q3	Fiscal 2019-20
	↓ 52% 16(33)	↑ 50% 27(18)	↑ 156% 46(18)	93

ORDERS ISSUED ⁹	Q1	Q2	Q3	Fiscal 2019-20
	↓ 34% 21(32)	↑ 73% 38(22)	↓ 8% 24(26)	117

REASONS ISSUED ¹⁰	Q1	Q2	Q3	Fiscal 2019-20
	↓ 45% 6(11)	↓ 22% 7(9)	↓ 11% 8(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	3	1	2	0	11
Authorization to Disclose	0	1	0	0	1
Extension of a Temporary Order	0	0	1	1	3
Hearing and Review	2	1	0	0	1
Further Decision/Revocation/Variation of a Decision	1	0	1	0	0
Transactional Proceeding	0	1	0	0	0
Other	0	0	0	0	0
TOTAL APPLICATIONS – 31	19%¹¹ - 6	13% - 4	13% - 4	3% - 1	52% - 16
AVERAGE DAYS OLD¹²	48	117	224	281	644

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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