



ONTARIO
SECURITIES
COMMISSION

Tribunal Quarterly Metrics

Q1 Fiscal 2021-2022

OFFICE OF THE SECRETARY



APPLICATIONS COMMENCED BY TYPE ¹	Q1	Fiscal 2020-21 ²
Enforcement Proceeding	5 (4) ³	16
Authorization to Disclose	3 (3)	13
Extension of Temporary Order	2 (1)	1
Hearing and Review	1 (0)	6
Further Decision/Revocation/Variation of a Decision	0 (2)	3
Transactional Proceeding	0 (0)	2
Other	2 (0)	1
TOTAL	↑ 30 % 13 (10)	42

APPLICATIONS CLOSED BY TYPE ⁴	Q1	Fiscal 2020-21
Enforcement Proceeding	1 (2)	14
Authorization to Disclose	3 (2)	13
Extension of Temporary Order	1 (0)	1
Hearing and Review	0 (0)	1
Further Decision/Revocation/Variation of a Decision	1 (0)	1
Transactional Proceeding	0 (0)	2
Other	0 (0)	1
TOTAL	↑ 50 % 6 (4)	33

ACTIVE APPLICATIONS AT QUARTER-END⁵

Q1

↑ 40 % 35 (25)

ORAL HEARINGS SCHEDULED BY TYPE THAT PROCEEDED ⁶	Q1	Fiscal 2020-21
Enforcement Proceeding	36 (16)	158
Authorization to Disclose	0 (0)	1
Extension of Temporary Order	3 (2)	4
Hearing and Review	5 (0)	14
Further Decision/Revocation/Variation of a Decision	1 (2)	8
Transactional Proceeding	0 (0)	5
Other	0 (0)	0
TOTAL	↑ 125% 45 (20)	190

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

² Reflects the sum of Q1 to Q4 in fiscal 2020-21.

³ Numbers in parentheses correspond to Q1 of fiscal 2020-2021.

⁴ An application is closed when a final order or reasons, if any, are issued, or an application is abandoned or withdrawn.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

WRITTEN HEARINGS SCHEDULED BY TYPE ⁷	Q1	Fiscal 2020-21
Enforcement Proceeding	2 (9)	26
Authorization to Disclose	3 (2)	9
Extension of Temporary Order	1 (1)	4
Hearing and Review	1 (1)	4
Further Decision/Revocation/Variation of a Decision	0 (0)	3
Transactional Proceeding	0 (0)	0
Other	0 (0)	1
TOTAL	↓ 46 % 7 (13)	47

CALENDAR DAYS SCHEDULED FOR ORAL HEARINGS ⁸	Q1	Fiscal 2020-21
	↑ 125% 36 (16)	126

ORDERS ISSUED ⁹	Q1	Fiscal 2020-21
	↑ 48% 31 (21)	116

REASONS ISSUED ¹⁰	Q1	Fiscal 2020-21
	↑ 17 % 7 (6)	31

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	5	1	3	0	10
Authorization to Disclose	0	0	0	1	0
Extension of a Temporary Order	2	0	0	0	3
Hearing and Review	1	3	2	0	1
Further Decision/Revocation/Variation of a Decision	0	0	0	0	1
Transactional Proceeding	0	0	0	0	0
Other	2	0	0	0	0
TOTAL APPLICATIONS – 35	29%¹¹ -10	11% - 4	14% - 5	3% - 1	43% -15
AVERAGE DAYS OLD¹²	40	141	223	299	664

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. Multiple hearings may occur on the same calendar day.

⁹ The number of orders issued by the Tribunal.

¹⁰ The number of reasons issued by the Tribunal.

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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Fiscal 2021 - 2022 (April 1, 2021 to June 30, 2021)

Contact Information

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