



ONTARIO  
SECURITIES  
COMMISSION

# Tribunal Quarterly Metrics

Q2 Fiscal 2021-2022

OFFICE OF THE SECRETARY



APPLICATIONS COMMENCED BY TYPE <sup>1</sup>	Q1		Q2		Fiscal 2020-21 <sup>2</sup>
Enforcement Proceeding	5 (4) <sup>3</sup>		3 (4)		16
Authorization to Disclose	3 (3)		1 (5)		13
Extension of Temporary Order	2 (1)		0 (0)		1
Hearing and Review	1 (0)		0 (1)		6
Further Decision/Revocation/Variation of a Decision	0 (2)		0 (0)		3
Transactional Proceeding	0 (0)		0 (2)		2
Other	2 (0)		1 (1)		1
<b>TOTAL</b>	<b>↑ 30%</b>	<b>13 (10)</b>	<b>↓ 62%</b>	<b>5 (13)</b>	<b>42</b>

APPLICATIONS CLOSED BY TYPE <sup>4</sup>	Q1		Q2		Fiscal 2020-21
Enforcement Proceeding	1 (2)		2 (3)		14
Authorization to Disclose	3 (2)		1 (4)		13
Extension of Temporary Order	1 (0)		0 (0)		1
Hearing and Review	0 (0)		2 (0)		1
Further Decision/Revocation/Variation of a Decision	1 (0)		0 (1)		1
Transactional Proceeding	0 (0)		0 (0)		2
Other	0 (0)		1 (1)		1
<b>TOTAL</b>	<b>↑ 50%</b>	<b>6 (4)</b>	<b>↓ 33%</b>	<b>6 (9)</b>	<b>33</b>

ACTIVE APPLICATIONS AT QUARTER-END <sup>5</sup>	Q1		Q2	
	<b>↑ 40%</b>	<b>35 (25)</b>	<b>↓ 17%</b>	<b>34 (29)</b>

ORAL HEARINGS SCHEDULED BY TYPE THAT PROCEEDED <sup>6</sup>	Q1		Q2		Fiscal 2020-21
Enforcement Proceeding	36 (16)		20 (26)		158
Authorization to Disclose	0 (0)		0 (1)		1
Extension of Temporary Order	3 (2)		2 (2)		4
Hearing and Review	5 (0)		5 (1)		14
Further Decision/Revocation/Variation of a Decision	1 (2)		1 (4)		8
Transactional Proceeding	0 (0)		0 (4)		5
Other	0 (0)		2 (0)		0
<b>TOTAL</b>	<b>↑ 125%</b>	<b>45 (20)</b>	<b>↓ 21%</b>	<b>30 (38)</b>	<b>190</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 2020-21.

<sup>3</sup> Numbers in parentheses correspond to the same period of fiscal 2020-2021.

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 An application is closed when a final order or reasons, if any, are issued, or an application is abandoned or withdrawn.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

WRITTEN HEARINGS SCHEDULED BY TYPE <sup>7</sup>	Q1	Q2	Fiscal 2020-21
Enforcement Proceeding	2 (9)	4 (7)	26
Authorization to Disclose	3 (2)	1 (3)	9
Extension of Temporary Order	1 (1)	2 (1)	4
Hearing and Review	1 (1)	0 (1)	4
Further Decision/Revocation/Variation of a Decision	0 (0)	0 (0)	3
Transactional Proceeding	0 (0)	0 (0)	0
Other	0 (0)	0 (1)	1
<b>TOTAL</b>	<b>↓ 46 % 7 (13)</b>	<b>↓ 46% 7 (13)</b>	<b>47</b>

CALENDAR DAYS SCHEDULED FOR ORAL HEARINGS <sup>8</sup>	Q1	Q2	Fiscal 2020-21
	<b>↑ 125% 36 (16)</b>	<b>↓ 19% 22 (27)</b>	126

ORDERS ISSUED <sup>9</sup>	Q1	Q2	Fiscal 2020-21
	<b>↑ 48% 31 (21)</b>	<b>↓ 45% 21 (38)</b>	116

REASONS ISSUED <sup>10</sup>	Q1	Q2	Fiscal 2020-21
	<b>↑ 17% 7 (6)</b>	7 (7)	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	2	4	1	3	10
Authorization to Disclose	0	0	0	0	1
Extension of a Temporary Order	0	2	0	0	3
Hearing and Review	0	1	3	0	1
Further Decision/Revocation/Variation of a Decision	0	0	0	0	1
Transactional Proceeding	0	0	0	0	0
Other	1	1	0	0	0
<b>TOTAL APPLICATIONS – 34</b>	<b>9%<sup>11</sup> -3</b>	<b>23% - 8</b>	<b>12% - 4</b>	<b>9% - 3</b>	<b>47% -16</b>
<b>AVERAGE DAYS OLD<sup>12</sup></b>	<b>67</b>	<b>132</b>	<b>233</b>	<b>315</b>	<b>733</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. Multiple hearings may occur on the same calendar day.

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

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

<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.



## Tribunal Quarterly Metrics

Fiscal 2021 - 2022 (July 1, 2021 to September 30, 2021)

### **Contact Information**

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