



Tribunal Quarterly Metrics

Q2 Fiscal 2023-2024



Tribunal Quarterly Metrics

Q2 Fiscal 2023 - 2024 (July 1, 2023 to September 30, 2023)

APPLICATIONS COMMENCED BY TYPE ¹	Q1	Q2	Fiscal 2022-23 ²
Enforcement Proceeding	6 (3) ³	4 (3)	10
Authorization to Disclose	0 (2)	3(1)	4
Extension of Temporary Order	0 (0)	1 (0)	1
Hearing and Review	0 (0)	0 (1)	1
Further Decision/Revocation/Variation of a Decision	2 (0)	0 (0)	0
Transactional Proceeding	0 (0)	0 (0)	1
Other	0 (0)	0 (0)	1
TOTAL	↑ 60% 8 (5)	↑ 60% 8 (5)	18

APPLICATIONS CLOSED BY TYPE ⁴	Q1	Q2	Fiscal 2022-23
Enforcement Proceeding	3 (5)	2 (5)	20
Authorization to Disclose	0 (0)	0 (1)	3
Extension of Temporary Order	1 (1)	0 (0)	1
Hearing and Review	0 (1)	0 (0)	1
Further Decision/Revocation/Variation of a Decision	1 (1)	1 (0)	1
Transactional Proceeding	1 (1)	0 (0)	1
Other	0 (0)	1 (1)	1
TOTAL	↓ 33% 6 (9)	↓ 43% 4 (7)	28

ACTIVE APPLICATIONS AT QUARTER-END ⁵	Q1	Q2
	↓ 12 % 30 (34)	↑ 6% 34 (32)

ORAL HEARINGS SCHEDULED BY TYPE THAT PROCEEDED ⁶	Q1	Q2	Fiscal 2022-23
Enforcement Proceeding	32 (25)	27 (23)	108
Authorization to Disclose	0 (1)	3 (1)	3
Extension of Temporary Order	0 (1)	1 (2)	5
Hearing and Review	2 (2)	4 (1)	9
Further Decision/Revocation/Variation of a Decision	3 (0)	0 (0)	0
Transactional Proceeding	0 (0)	0 (0)	0
Other	0 (0)	0 (0)	1
TOTAL	↑ 28% 37 (29)	↑ 30% 35 (27)	126

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

² Reflects the sum of Q1 to Q4 in fiscal 2022-23.

³ Numbers in parentheses correspond to the same period of fiscal 2022-2023.

⁴ An application is closed when a final order or reasons, if any, are issued, or an application is abandoned or withdrawn.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

Tribunal Quarterly Metrics

Q2 Fiscal 2023 - 2024 (July 1, 2023 to September 30, 2023)

WRITTEN HEARINGS SCHEDULED BY TYPE ⁷	Q1	Q2	Fiscal 2022-23
Enforcement Proceeding	2 (5)	4 (10)	29
Authorization to Disclose	0 (1)	0 (3)	9
Extension of Temporary Order	0 (2)	1 (3)	6
Hearing and Review	1 (0)	0 (0)	1
Further Decision/Revocation/Variation of a Decision	2 (0)	0 (0)	0
Transactional Proceeding	0 (0)	0 (0)	0
Other	1 (0)	0 (1)	1
TOTAL	↓ 25% 6 (8)	↓ 71% 5 (17)	46

CALENDAR DAYS SCHEDULED FOR ORAL HEARINGS ⁸	Q1	Q2	Fiscal 2022-23
	↑ 38% 29 (21)	↑ 27% 28 (22)	98

ORDERS ISSUED ⁹	Q1	Q2	Fiscal 2022-23
	↓ 15% 28 (33)	↓ 50% 17 (34)	134

REASONS ISSUED ¹⁰	Q1	Q2	Fiscal 2022-23
	↓ 7% 13 (14)	↓ 33% 6 (9)	47

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	3	1	2	10
Authorization to Disclose	3	0	0	0	1
Extension of a Temporary Order	1	0	1	0	4
Hearing and Review	0	0	0	0	3
Further Decision/Revocation/Variation of a Decision	0	0	0	0	0
Transactional Proceeding	0	0	0	0	0
Other	0	0	0	0	1
TOTAL APPLICATIONS – 34	23%¹¹ - 8	9% - 3	6% - 2	6% - 2	56% - 19
AVERAGE DAYS OLD¹²	32	140	241	345	715

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.

Tribunal Quarterly Metrics

Q2 Fiscal 2023 - 2024 (July 1, 2023 to September 30, 2023)

Contact Information

Registrar, Governance & Tribunal Secretariat
Ontario Securities Commission

20 Queen Street West
22nd Floor
Toronto, ON M5H 3S8

416-595-8916
registrar@capitalmarketstribunal.ca