

## DIVISION OF SECURITIES AND RETAIL FRANCHISING

The Division of Securities and Retail Franchising of the State Corporation Commission is charged with the administration of the following laws:

Virginia Securities Act (known as the "Blue Sky Law"), Virginia Code Sections 13.1-501 through 13.1-527.3.  
 Virginia Trademark and Service Mark Act, Virginia Code Sections 59.1-92.1 through 59.1-92.21.  
 Virginia Retail Franchising Act, Virginia Code Sections 13.1-557 through 13.1-574.

### UNDER THE VIRGINIA SECURITIES ACT:

10	qualification applications received
1,631	coordination applications received
4	notification applications received
2,310	filings for exemption from registration (Reg. D)
2,335	broker-dealer registrations renewed and granted
133	broker-dealer registrations denied, withdrawn, and terminated
153,930	agent registrations renewed and granted
37,716	agent registrations denied, withdrawn, and terminated
1,599	investment advisor registrations renewed and granted
43	investment advisor registrations denied, withdrawn, and terminated
726	investment advisor representative registrations denied, withdrawn and terminated
0	orders filing and/or canceling surety bonds
27	orders granting exemptions and/or official interpretations
21	orders for subpoena of records by banks, corporations, and individuals
17	orders of show cause
42	judgments of compromise and settlement
18	final order and/or judgment

### UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

509	applications for trademarks and/or service marks approved, renewed, or assigned
447	applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

### UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,197	franchise registration, renewal, or post-effective amendment applications received
236	franchises denied, withdrawn, non-renewed, or terminated

### COMPARISON OF FEES COLLECTED BY THE DIVISION OF SECURITIES AND RETAIL FRANCHISING FOR THE YEARS ENDING DECEMBER 31, 1999 AND DECEMBER 31, 2000

<u>Kind</u>	<u>1999</u>	<u>2000</u>	<u>Increase or (Decrease)</u>
Securities Act	\$7,203,096	\$8,833,236	\$1,630,140
Retail Franchising Act	294,900	322,875	28,075
Trademarks-Service Marks	17,880	18,420	540
Fines	89,185	94,365	5,180
<b>TOTAL</b>	<b>\$7,604,961</b>	<b>\$9,268,896</b>	<b>\$1,663,935</b>