

ANNUAL REPORT OF THE STATE CORPORATION COMMISSION

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:

8	qualification applications received
83	coordination applications received
2	notification applications received
2,627	investment company filings
50	filings for exemption from registration
1,294	filings for exemption related federal covered securities
2,467	broker-dealer registrations renewed and granted
197	broker-dealer registrations denied, withdrawn, and terminated
154,527	agent registrations renewed and granted
41,743	agent registrations denied, withdrawn, and terminated
1,779	investment advisor registrations renewed and granted
62	investment advisor registrations denied, withdrawn, and terminated
714	investment advisor representative registrations denied, withdrawn and terminated
9,575	investment advisor representatives registrations renewed and granted
0	orders filing and/or canceling surety bonds
8	orders granting exemptions and/or official interpretations
33	orders for subpoena of records by banks, corporations, and individuals
30	orders of show cause
28	judgments of compromise and settlement
14	final order and/or judgment
15	temporary Injunction

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

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454	applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,231	franchise registration, renewal, or post-effective amendment applications received
233	franchises denied, withdrawn, non-renewed, or terminated

DIVISION OF SECURITIES, FRANCHISING, TRADEMARKS

Consumer complaints Enforcement and Registration	253
Telephone inquiries Enforcement and Registration	17,062

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**COMPARISON OF FEES COLLECTED BY THE DIVISION OF SECURITIES
AND RETAIL FRANCHISING FOR THE YEARS ENDING DECEMBER 31, 2001
AND DECEMBER 31, 2002**

<u>Kind</u>	<u>2001</u>	<u>2002</u>	Increase or <u>(Decrease)</u>
Securities Act	\$7,659,768	\$7,201,807	(\$457,961)
Retail Franchising Act	305,700	320,200	14,500
Trademarks-Service Marks	15,065	15,428	363
Fines	<u>38,860</u>	<u>70,815</u>	<u>31,955</u>
TOTAL	\$8,019,393	\$7,608,250	(\$411,143)