

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:

3	qualification applications received
109	coordination applications received
1	notification applications received
2,361	investment company filings
31	filings for exemption from registration
1,739	filings for exemption-related federal covered securities
219	broker-dealer registrations approval
2,238	broker-dealer registrations renewal
161	broker-dealer registrations denied, withdrawn, and terminated
36,214	agent registrations approval
125,923	agent registrations renewal
0	agents placed on special supervision
32,317	agent registrations denied, withdrawn, and terminated
260	investment advisor registrations approval
1,727	investment advisor registrations renewal
44	investment advisor registrations denied, withdrawn, and terminated
1,866	investment advisor representative registrations denied, withdrawn, and terminated
2,196	investment advisor representative registrations approval
7,884	investment advisor representative registrations renewal
0	orders filing and/or canceling surety bonds
4	orders granting exemptions and/or official interpretations
23	orders for subpoena of records by banks, corporations, and individuals
21	orders of show cause
17	judgments of compromise and settlement
38	final order and/or judgment
0	temporary injunction

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

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713	applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,485	franchise registration, renewal, or post-effective amendment applications received
264	franchises denied, withdrawn, non-renewed, or terminated
7	franchise judgments of compromise and settlement
3	franchise final order and/or judgment

TELEPHONE CALLS AND COMPLAINTS:

1,661	pending enforcement calls
323	enforcement general inquiry calls
1,044	pending registration application calls
10,017	registration general inquiry calls
1,521	pending audit calls
669	audit general inquiry calls
3,137	pending examination application calls
6,164	examination general inquiry calls
879	pending TM/SM calls
1,203	TM/SM general inquiry calls
178	complaints resulting in investigations
37	complaints resulting in referrals
41	complaints resulting in no actions