

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 §§ 13.1-501 through 13.1-527.3.

Virginia Trademark and Service Mark Act, Virginia Code §§ 59.1-92.1 through 59.1-92.21.

Virginia Retail Franchising Act, Virginia Code §§ 13.1-557 through 13.1-574.

UNDER THE VIRGINIA SECURITIES ACT:

26	agent of issuer registrations and renewals denied, withdrawn, or terminated
414	investment company notice filings originals and renewals denied, withdrawn, or terminated
52	securities registrations approved
19	securities registrations denied, withdrawn, or terminated
2,926	investment company notice filings originals and renewals accepted
30	exemptions from registration approved
2,451	exemption notice filings for federal-covered securities accepted
3	exemption notice filings for federal-covered securities denied, withdrawn, or terminated
2,512	broker-dealer registrations, renewals, and amendments approved
182	broker-dealer registrations and renewals denied, withdrawn, or terminated
45	broker-dealer audits completed
154,387	broker-dealer agent registrations and renewals approved
0	broker-dealer agents placed on special supervision
655	broker-dealer agent registrations and renewals denied, withdrawn, or terminated
3,106	investment advisor registrations, renewals, and amendments approved
193	investment advisor registrations, renewals, and amendments denied, withdrawn, or terminated
46	investment advisor audits completed
374	audit violation deficiencies resolved
10,475	investment advisor representative registrations and renewals approved
151	investment advisor representative registrations and renewals denied, withdrawn, or terminated
84	agent of issuer registrations and renewals approved
148	investigations completed

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

847	trademarks and/or service marks approved, renewed, or assigned
683	trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,697	franchise registrations, renewals, or post-effective amendments approved
462	franchise registrations, renewals, or post-effective amendments denied, withdrawn, non-renewed, or terminated
35	investigations completed

ORDERS, JUDGMENTS, AND SETTLEMENTS:

11	orders granting exemptions and/or official interpretations
0	orders filing and/or canceling surety bonds
17	orders for subpoena of records by banks, corporations, and individuals
26	orders of show cause
36	judgments of compromise and settlement
47	final orders and/or judgments
7	temporary injunctions

TELEPHONE CALLS, E-MAILS, AND COMPLAINTS:

597	enforcement general inquiry calls/e-mails
3,191	calls/e-mails regarding pending enforcements
971	calls/e-mails regarding pending registrations
17,423	registration general inquiry calls/e-mails
1,431	calls/e-mails regarding pending audits
529	audit general inquiry calls/e-mails
9,589	examination general inquiry calls/e-mails
1,955	calls/e-mails regarding pending examinations
193	complaints resulting in investigations
91	complaints referred
14	complaints with no authority to investigate
12	complaints with no violation of Securities or Franchise Acts