

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 59.1-77 through 59.1-102.
 Virginia Retail Franchising Act, Virginia Code Sections 13.1-557 through 13.1-574.

UNDER THE VIRGINIA SECURITIES ACT:

16	qualification applications received
987	coordination applications received
42	notification applications received
568	filings for exemption from registration (Reg. D)
1,759	broker-dealer registrations renewed and granted
92	broker-dealer registrations denied, withdrawn, and terminated
93,257	agent registrations renewed and granted
21,466	agent registrations denied, withdrawn, and terminated
1,516	investment advisor registrations renewed and granted
45	investment advisor registrations denied, withdrawn, and terminated
14,329	investment advisor representative registrations renewed and granted
1,530	investment advisor representative registrations denied, withdrawn, and terminated
47	orders filing and/or canceling surety bonds
19	orders granting exemptions and/or official interpretations
8	orders for subpoena of records by banks, corporations, and individuals
12	orders of show cause
72	judgments of compromise and settlement
27	final order and/or judgment

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

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437	applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,509	franchise registration, renewal, or post-effective amendment applications received
283	franchises denied, withdrawn, non-renewed, or terminated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, 1994, AND DECEMBER 31, 1995

<u>Kind</u>	<u>1994</u>	<u>1995</u>	<u>Increase or (Decrease)</u>
Securities Act	\$5,051,894	\$5,054,727	\$2,833
Retail Franchising Act	284,700	276,000	(8,700)
Trademarks-Service Marks	16,205	19,380	3,175
Fines	121,325	325,895	204,570
TOTAL	\$5,474,124	\$5,676,002	\$201,878