

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:

17	qualification applications received
1,067	coordination applications received
52	notification applications received
695	filings for exemption from registration (Reg. D)
1,995	broker-dealer registrations renewed and granted
64	broker-dealer registrations denied, withdrawn, and terminated
104,257	agent registrations renewed and granted
21,658	agent registrations denied, withdrawn, and terminated
1,755	investment advisor registrations renewed and granted
50	investment advisor registrations denied, withdrawn, and terminated
17,509	investment advisor representative registrations renewed and granted
1,280	investment advisor representative registrations denied, withdrawn and terminated
65	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
4	orders of show cause
65	judgments of compromise and settlement
12	final order and/or judgment

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

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366	applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,106	franchise registration, renewal, or post-effective amendment applications received
247	franchises denied, withdrawn, non-renewed, or terminated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, 1995,
 AND DECEMBER 31, 1996**

<u>Kind</u>	<u>1995</u>	<u>1996</u>	<u>Increase or (Decrease)</u>
Securities Act	\$5,054,727	\$5,593,100	\$538,373
Retail Franchising Act	276,000	304,200	28,200
Trademarks-Service Marks	19,380	24,210	4,830
Fines	325,895	398,932	73,037
TOTAL	\$5,676,002	\$6,320,442	\$644,440