

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:

14	qualification applications received
1,337	coordination applications received
3	notification applications received
1,442	filings for exemption from registration (Reg. D)
2,295	broker-dealer registrations renewed and granted
132	broker-dealer registrations denied, withdrawn, and terminated
140,596	agent registrations renewed and granted
18,250	agent registrations denied, withdrawn, and terminated
1,590	investment advisor registrations renewed and granted
68	investment advisor registrations denied, withdrawn, and terminated
7,029	investment advisor representative registrations renewed and granted
1,165	investment advisor representative registrations denied, withdrawn and terminated
1	orders filing and/or canceling surety bonds
18	orders granting exemptions and/or official interpretations
14	orders for subpoena of records by banks, corporations, and individuals
12	orders of show cause
48	judgments of compromise and settlement
10	final order and/or judgment

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

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494	applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

1,170	franchise registration, renewal, or post-effective amendment applications received
228	franchises denied, withdrawn, non-renewed, or terminated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, 1998 AND DECEMBER 31, 1999

<u>Kind</u>	<u>1998</u>	<u>1999</u>	<u>Increase or (Decrease)</u>
Securities Act	\$6,678,162	\$7,203,096	\$524,934
Retail Franchising Act	306,650	294,900	(11,850)
Trademarks-Service Marks	16,350	17,880	1,530
Fines	68,850	89,185	20,335
TOTAL	\$7,070,012	\$7,604,961	\$534,949