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:


UNDER THE VIRGINIA SECURITIES ACT:

- 8 qualification applications received
- 83 coordination applications received
- 2 notification applications received
- 2,627 investment company filings
- 50 filings for exemption from registration
- 1,294 filings for exemption related federal covered securities
- 2,467 broker-dealer registrations renewed and granted
- 197 broker-dealer registrations denied, withdrawn, and terminated
- 154,527 agent registrations renewed and granted
- 41,743 agent registrations denied, withdrawn, and terminated
- 1,779 investment advisor registrations renewed and granted
- 62 investment advisor registrations denied, withdrawn, and terminated
- 714 investment advisor representative registrations denied, withdrawn and terminated
- 9,575 investment advisor representatives registrations renewed and granted
- 0 orders filing and/or canceling surety bonds
- 8 orders granting exemptions and/or official interpretations
- 33 orders for subpoena of records by banks, corporations, and individuals
- 30 orders of show cause
- 28 judgments of compromise and settlement
- 14 final order and/or judgment
- 15 temporary Injunction

UNDER THE VIRGINIA TRADEMARK AND SERVICE MARK ACT:

- 450 applications for trademarks and/or service marks approved, renewed, or assigned
- 454 applications for trademarks and/or service marks denied, abandoned, expired, or withdrawn

UNDER THE VIRGINIA RETAIL FRANCHISING ACT:

- 1,231 franchise registration, renewal, or post-effective amendment applications received
- 233 franchises denied, withdrawn, non-renewed, or terminated

DIVISION OF SECURITIES, FRANCHISING, TRADEMARKS

- Consumer complaints Enforcement and Registration 253
- Telephone inquiries Enforcement and Registration 17,062
### COMPARISON OF FEES COLLECTED BY THE DIVISION OF SECURITIES AND RETAIL FRANCHISING FOR THE YEARS ENDING DECEMBER 31, 2001 AND DECEMBER 31, 2002

<table>
<thead>
<tr>
<th>Kind</th>
<th>2001</th>
<th>2002</th>
<th>Increase or Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td>Securities Act</td>
<td>$7,659,768</td>
<td>$7,201,807</td>
<td>($457,961)</td>
</tr>
<tr>
<td>Retail Franchising Act</td>
<td>305,700</td>
<td>320,200</td>
<td>14,500</td>
</tr>
<tr>
<td>Trademarks-Service Marks</td>
<td>15,065</td>
<td>15,428</td>
<td>363</td>
</tr>
<tr>
<td>Fines</td>
<td>38,860</td>
<td>70,815</td>
<td>31,955</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$8,019,393</strong></td>
<td><strong>$7,608,250</strong></td>
<td><strong>($411,143)</strong></td>
</tr>
</tbody>
</table>