

**UTAH DIVISION OF SECURITIES  
STATISTICS**

<b><u>Enforcement</u></b>	<b><u>FY 03</u></b>	<b><u>FY04</u></b>	<b><u>FY05</u></b>	<b><u>FY06</u></b>	<b><u>FY07</u></b>
Complaints Received	175	171	98	85	115
Cases Opened	104	87	70	61	77
Cases Closed	0	86	66	47	75
Administrative Cases					
Cases Filed	118	70	55	87	108
Orders to Show Cause	71	41	13	63	82
Cease and Desist Orders	34	32	8	7	44
Stipulated Settlements	37	29	30	32	30
Denials and Revocations	22	20	4	11	13
Civil Cases					
Lawsuits filed	0	0	1	7	2
Judgments	0	2	0	1	0
Criminal Cases					
Criminal Charges Filed	46	54	35	19	24
Convictions	25	38	20	9	12
Pleas in Abeyance				9	4
Audits	41	50	36	54	23
Fines Paid	\$782,341	\$3,535,142	\$880,333.27	\$450,393.20	\$690,066.00
* Restitution Ordered	\$5,191,923	\$28,167,307	\$63,649,804.58	\$2,480,666.34	\$25,026,659.11

**Licenses**

Broker-Dealers	1,753	1,704	1,733	1,766	1,815
Broker-Dealer Agents	76,241	77,594	83,797	89,516	97,506
Investment Advisors	134	132	143	157	176
Federal Covered Advisors	609	643	701	1,398	877
I/A Representatives	2,239	2,451	3,088	3,445	3,711
Certified Dealers	25	18	25	23	20
Certified Dealer Agents	82	78	85	90	97
Issuer Agents	214	83	87	83	117
<b>Total</b>	<b>81,297</b>	<b>82,703</b>	<b>89,659</b>	<b>96,478</b>	<b>104,319</b>
Licensing Revenue				\$4,532,165.00	\$5,256,365.00

**Securities Filings**

Registrations					
Coordination	125	136	146	128	123
Qualification	2	1	2	1	1
Exemptions	58	63	36	41	40
Opinion/No-Action Letters	6	3	7	4	4
Mutual Funds	4,184	3,998	4,252	4,514	4,911
Rule 506	437	531	659	808	1032
<b>Total</b>	<b>4,812</b>	<b>4,732</b>	<b>5,102</b>	<b>5,496</b>	<b>6,111</b>
Filing Revenue				\$ 2,533,580.00	

\* FY 2007 changed "Enforcement Funds Recovered or Ordered" to "Restitution Ordered"

03/07/08