

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/28/2009 through 1/8/2010**

| Securities Law Registration Filings Made with DFI's Securities Division | | | | |
|--|------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| KLEIN RETAIL CENTERS INC | COLDWATER, MI | 1/6/2010 | 00573719-01 | Pending |
| CAMPBELL CLASSIC TREND FUND LP | BALTIMORE, MD | 12/30/2009 | 00573460-01 | Pending |
| CAMPBELL STRATEGIC ALLOCATION FUND LP | BALTIMORE, MD | 12/30/2009 | 00573459-01 | Pending |
| SANCTUARY OF FAITH | JACKSONVILLE, NC | 12/30/2009 | 00573461-02 | Pending |
| BAY NATIONAL CORP | LUTHERVILLE, MD | 12/29/2009 | 00573412-01 | Pending |
| Number of Registration Filings: 5 | | | | |

| Securities Law Exemption Filings Made with DFI's Securities Division | | | | |
|---|----------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| CASCADE CHRISTIAN SCHOOLS | PAUALLUP, WA | 1/7/2010 | 00573882-10 | Pending |
| NEW VISION SPIRITUAL GROWTH CENTER RELIBIOUS SCIENCE IN PARADISE VALLEY | PHOENIX, AZ | 1/7/2010 | 00573881-10 | Pending |
| SUNRISE UNITED METHODIST CHURCH | COLORADO SPRINGS, CO | 1/7/2010 | 00573880-10 | Pending |
| CHURCH FOR THE NATIONS | PHOENIX, AZ | 12/29/2009 | 00573423-08 | Pending |
| Number of Exemption Filings: 4 | | | | |

| Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division | | | | |
|---|-----------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| ADVISORS SERIES TR CAPITAL ADVISORS GROWTH FUND | MILWAUKEE, WI | 1/8/2010 | 00573872-03 | Registered |
| GLOBAL CLOSED END PORTFOLIO SERIES 12 | MONUMENT, CO | 1/8/2010 | 00573870-05 | Pending-Cleared |
| TX EX SECURITIES TR NATIONAL TR 461 | MONUMENT, CO | 1/8/2010 | 00573871-05 | Pending-Cleared |

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for 12/28/2009 through 1/8/2010**

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| Firm Name | Location | Date Received | File Number | Status |
| VAN KAMPEN UNIT TR MUNICIPAL SERIES 861 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 7 | OAKBROOK, IL | 1/8/2010 | 00573877-05 | Pending-Cleared |
| VAN KAMPEN UNIT TR MUNICIPAL SERIES 862 INSURED MUNICIPALS INCOME TR SERIES 592 | OAKBROOK, IL | 1/8/2010 | 00573875-05 | Pending-Cleared |
| VAN KAMPEN UNIT TR MUNICIPAL SERIES 863 INSURED MUNICIPALS INCOME TR SERIES 593 | OAKBROOK, IL | 1/8/2010 | 00573876-05 | Pending-Cleared |
| VAN KAMPEN UNIT TR SERIES 939 CLOSED END STRATEGY GLOBAL INCOME PORTFOLIO SERIES 1 | OAKBROOK, IL | 1/8/2010 | 00573878-05 | Pending-Cleared |
| VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 227 INTERMEDIATE CORPORATE INVESTMENT GRADE TR SERIES 53 | OAKBROOK, IL | 1/8/2010 | 00573874-05 | Pending-Cleared |
| VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 228 INTERMEDIATE CORPORATE INVESTMENT GRADE TR SERIES 54 | OAKBROOK, IL | 1/8/2010 | 00573873-05 | Pending-Cleared |
| ADVISORS CORPROATE TR NAVELLIER DEAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 13 | MONUMENT, CO | 1/7/2010 | 00573863-05 | Pending-Cleared |
| CLAYMORE SECURITIES DEFINED PORTFOLIO SERIES 659 CLAYMORE GUGGENHEIM SHORT INTERMEDIATE INVESTMENT GRADE CORPORATE TR | LISLE, IL | 1/7/2010 | 00573862-05 | Pending-Cleared |
| GABELLI UTILITIES FUND CLASS I SHARES | RYE, NY | 1/7/2010 | 00573868-03 | Registered |
| GLOBAL WATER PORTFOLIO SERIES 6 | MONUMENT, CO | 1/7/2010 | 00573864-05 | Pending-Cleared |
| FT 2251 CAPITAL STRENGTH PORTFOLIO SERIES 6 | WHEATON, IL | 1/6/2010 | 00573716-05 | Registered |
| FT 2263 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SEIRES 13 | WHEATON, IL | 1/6/2010 | 00573718-05 | Pending-Cleared |

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|--|-----------------------|----------------------|--------------------|-----------------|
| Firm Name | Location | Date Received | File Number | Status |
| FT 2264 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 8 | WHEATON, IL | 1/6/2010 | 00573715-05 | Pending-Cleared |
| FT 2302 TAX ADVANTAGED MUNICIPAL LOSED END PORTFOLIO SEIRES 8 | WHEATON, IL | 1/6/2010 | 00573717-05 | Pending-Cleared |
| JPMORGAN TR 1 JPMORGAN ACCESS BALANCED FUND CLASS C | BOSTON, MA | 1/6/2010 | 00573692-03 | Registered |
| VALLEY FORGE FUND INC | WAYNE, PA | 1/6/2010 | 00573714-03 | Pending-Cleared |
| AQR FUNDS AQR MANAGED FUTURES STRATEGY FUND CLASS I SHARES | GREENWICH, CT | 1/5/2010 | 00573684-03 | Registered |
| AQR FUNDS AQR MANAGED FUTURES STRATEGY FUND CLASS N SHARES | GREENWICH, CT | 1/5/2010 | 00573685-03 | Registered |
| ICON FUNDS ICON ASIA PACIFIC REGION FUND CLASS Z SHARES | GREENWOOD VILLAGE, CO | 1/5/2010 | 00573686-03 | Registered |
| JPMORGAN TR 1 JPMORGAN ACCESS GROWTH FUND CLASS C | BOSTON, MA | 1/5/2010 | 00573691-03 | Registered |
| ABERDEEN FUNDS ABERDEEN ASIA BOND INSTITUTIONAL FUND INSTITUTIONAL SERVICE CLASS SHARES | COLUMBUS, OH | 1/4/2010 | 00573681-03 | Registered |
| CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 640 CLAYMORE GUGGENHEIM INTERMEDIATE INVESTMENT GRADE CORPROAT TR SEIRES | LISLE, IL | 1/4/2010 | 00573646-05 | Pending-Cleared |
| COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 2 YR SERIES 9 | MONUMENT, CO | 1/4/2010 | 00573497-05 | Pending-Cleared |
| EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 8 | MONUMENT, CO | 1/4/2010 | 00573498-05 | Pending-Cleared |
| EVERMORE FUNDS TR EVERMORE EUROPEAN VALUE FUND CLASS A | MILWAUKEE, WI | 1/4/2010 | 00573635-03 | Registered |
| EVERMORE FUNDS TR EVERMORE EUROPEAN VALUE FUND CLASS A | MILWAUKEE, WI | 1/4/2010 | 00573637-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| EVERMORE FUNDS TR EVERMORE EUROPEAN VALUE FUND CLASS I | MILWAUKEE, WI | 1/4/2010 | 00573636-03 | Registered |
| EVERMORE FUNDS TR EVERMORE GLOBAL VALUE FUND CLASS A | MILWAUKEE, WI | 1/4/2010 | 00573634-03 | Registered |
| EVERMORE FUNDS TR EVERMORE GLOBAL VALUE FUND CLASS C | MILWAUKEE, WI | 1/4/2010 | 00573633-03 | Registered |
| EVERMORE FUNDS TR EVERMORE GLOBAL VALUE FUND CLASS I | MILWAUKEE, WI | 1/4/2010 | 00573632-03 | Registered |
| HUNTINGTON FUNDS HUNTINGTON GLOBAL SELECT MARKETS FUND INSTITUTIONAL SHARES | INDIANAPOLIS, IN | 1/4/2010 | 00573683-03 | Pending-Cleared |
| HUNTINGTON FUNDS HUNTINGTON GLOBAL SELECT MARKETS FUND CLASS A SHARES | INDIANAPOLIS, IN | 1/4/2010 | 00573682-03 | Pending-Cleared |
| KINETICS MUTUAL FUNDS INC TACTICAL PARADIGM FUND INSTITUTIONAL CLASS | MILWAUKEE, WI | 1/4/2010 | 00573629-03 | Registered |
| KINETICS MUTUAL FUNDS INC TACTICAL PARADIGM FUND ADVISOR CLASS A | MILWAUKEE, WI | 1/4/2010 | 00573631-03 | Registered |
| KINETICS MUTUAL FUNDS INC TACTICAL PARADIGM FUND ADVISOR CLASS C | MILWAUKEE, WI | 1/4/2010 | 00573630-03 | Registered |
| KINETICS MUTUAL FUNDS INC TACTICAL PARADIGM FUND NO LOAK CLASS | MILWAUKEE, WI | 1/4/2010 | 00573628-03 | Registered |
| MANAGERS TR 1 FQ GLOBAL ALTERNATIVES FUND INSTITUTIONAL CLASS | MILWAUKEE, WI | 1/4/2010 | 00573643-03 | Registered |
| MANAGERS TR 1 FQ GLOBAL ALTERNATIVES FUND SERVICE CLASS | MILWAUKEE, WI | 1/4/2010 | 00573642-03 | Registered |
| MANAGERS TR 1 MANAGER AMG FQ GLOBAL ESSENTIALS FUND INVESTOR CLASS | MILWAUKEE, WI | 1/4/2010 | 00573639-03 | Registered |
| MANAGERS TR 1 MANAGER AMG FQ GLOBAL ESSENTIALS FUND SERVICE CLASS | MILWAUKEE, WI | 1/4/2010 | 00573638-03 | Registered |

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| Firm Name | Location | Date Received | File Number | Status |
| MANAGERS TR 1 MANAGERS FRONTIER SMALL CAP GROWTH FUND INSTITUTIONAL CLASS | MILWAUKEE, WI | 1/4/2010 | 00573641-03 | Registered |
| MANAGERS TR 1 MANAGERS FRONTIER SMALL CAP GROWTH FUND INVESTOR CLASS | MILWAUKEE, WI | 1/4/2010 | 00573640-03 | Registered |
| PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T TOWE GLOBAL INTRASTRUCTURE FUND ADVISOR CLASS | BALTIMORE, MD | 1/4/2010 | 00573644-03 | Pending-Cleared |
| PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T TOWE GLOBAL INTRASTRUCTURE FUND | BALTIMORE, MD | 1/4/2010 | 00573645-03 | Pending-Cleared |
| RS INVESTMENT TR RS FLOATING RATE FUND CLASS A | SAN FRANCISCO, CA | 1/4/2010 | 00573653-03 | Registered |
| RS INVESTMENT TR RS FLOATING RATE FUND CLASS C | SAN FRANCISCO, CA | 1/4/2010 | 00573652-03 | Registered |
| RS INVESTMENT TR RS FLOATING RATE FUND CLASS K | SAN FRANCISCO, CA | 1/4/2010 | 00573651-03 | Registered |
| RS INVESTMENT TR RS FLOATING RATE FUND CLASS Y | SAN FRANCISCO, CA | 1/4/2010 | 00573650-03 | Registered |
| RS INVESTMENT TR RS HIGH YIELD MUNICIPAL BOND FUND CLASS A | SAN FRANCISCO, CA | 1/4/2010 | 00573655-03 | Registered |
| RS INVESTMENT TR RS HIGH YIELD MUNICIPAL BOND FUND CLASS C | SAN FRANCISCO, CA | 1/4/2010 | 00573656-03 | Registered |
| RS INVESTMENT TR RS HIGH YIELD MUNICIPAL BOND FUND CLASS Y | SAN FRANCISCO, CA | 1/4/2010 | 00573654-03 | Registered |
| RS INVESTMENT TR RS STRATEGIC INCOME FUND CLASS A | SAN FRANCISCO, CA | 1/4/2010 | 00573649-03 | Registered |
| RS INVESTMENT TR RS STRATEGIC INCOME FUND CLASS C | SAN FRANCISCO, CA | 1/4/2010 | 00573648-03 | Registered |
| RS INVESTMENT TR RS STRATEGIC INCOME FUND CLASS K | SAN FRANCISCO, CA | 1/4/2010 | 00573647-03 | Registered |

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| RS INVESTMENT TR RS STRATEGIC INCOME FUND CLASS Y | SAN FRANCISCO, CA | 1/4/2010 | 00573657-03 | Registered |
| TR FOR PROFESSIONAL MANAGERS GERSTEIN FISHER MULTI FACTOR GROWTH EQUITY FUND INSTITUTIONAL CLASS | MILWAUKEE, WI | 1/4/2010 | 00573658-03 | Registered |
| ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN US STRATEGIC RESEARCH PORTFOLIO CLASS C | NEW YORK, NY | 12/31/2009 | 00573505-03 | Registered |
| ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN US STRATEGIC RESEARCH PORTFOLIO CLASS A | NEW YORK, NY | 12/31/2009 | 00573503-03 | Registered |
| ALLIANCEBERNSTEIN CAP FUND INC ALLIANCEBERNSTEIN US STRATEGIC RESEARCH PORTFOLIO ADVISOR CLASS | NEW YORK, NY | 12/31/2009 | 00573504-03 | Registered |
| MANNING & NAPIER FUND INC PRO BLEND B CONSERVATIVE TERM SERIES CLASS C SHARES | FAIRPORT, NY | 12/31/2009 | 00573499-03 | Registered |
| MANNING & NAPIER FUND INC PRO BLEND B EXTENDED TERM SERIES CLASS C SHARES | FAIRPORT, NY | 12/31/2009 | 00573500-03 | Registered |
| MANNING & NAPIER FUND INC PRO BLEND B MAXIMUM TERM SERIES CLASS C SHARES | FAIRPORT, NY | 12/31/2009 | 00573501-03 | Registered |
| MANNING & NAPIER FUND INC PRO BLEND B MODERATE TERM SERIES CLASS C SHARES | FAIRPORT, NY | 12/31/2009 | 00573502-03 | Registered |
| 1ST AMERICA INVESTMENT FUNDS INC TACTICAL MARKET OPPORTUNITIES FUND CLASS Y | MILWAUKEE, WI | 12/30/2009 | 00573463-03 | Registered |
| CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 651 MULTIPLE ASSET PORTFOLIO PLUS 2 YEAR SERIES 33 | LISLE, IL | 12/30/2009 | 00573496-05 | Pending-Cleared |

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for 12/28/2009 through 1/8/2010**

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| ENCOMPASS FUND | SAN FRANCISCO, CA | 12/30/2009 | 00573462-03 | Registered |
| FR 2210 TARGET MEGA CAP 1Q TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573469-05 | Pending-Cleared |
| FR 2210 TARGET VIP CONS EQTY 1Q TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573470-05 | Pending-Cleared |
| FR 2210 VALUE LINE DIVSD TARGET 40 1Q TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573471-05 | Pending-Cleared |
| FT 2207 VALUE LINE 100 1 RANKS 1Q 10 | WHEATON, IL | 12/30/2009 | 00573472-05 | Pending-Cleared |
| FT 2208 INCOME ALLOCATION CLOSED END JAN 10 | WHEATON, IL | 12/30/2009 | 00573474-05 | Pending-Cleared |
| FT 2209 DOW TARET 10 JAN 10 TERM 1 31 11 | WHEATON, IL | 12/30/2009 | 00573495-05 | Pending-Cleared |
| FT 2209 DOW TARGET DVD JAN 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573489-05 | Pending-Cleared |
| FT 2209 TARGET FOCUS 4 JAN 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573491-05 | Pending-Cleared |
| FT 2209 TARGET TRIAD JAN 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573492-05 | Pending-Cleared |
| FT 2209 TARGET VIP JAN 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573490-05 | Pending-Cleared |
| FT 2210 DOW TARGET 5 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573493-05 | Pending-Cleared |
| FT 2210 GLOBAL TARGET 15 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573481-05 | Pending-Cleared |
| FT 2210 MSCI EAFE TARGET 20 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573494-05 | Pending-Cleared |
| FT 2210 NASDAQ TARGET 15 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573480-05 | Pending-Cleared |
| FT 2210 NYSE INTL TARGET 25 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573478-05 | Pending-Cleared |
| FT 2210 S&P TARGET 24 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573485-05 | Pending-Cleared |
| FT 2210 S&P TARGET SMID 60 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573482-05 | Pending-Cleared |
| FT 2210 TARGET 50 50 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573484-05 | Pending-Cleared |
| FT 2210 TARGET DBL PLAY 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573486-05 | Pending-Cleared |
| FT 2210 TARGET DIVSD DVD 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573703-05 | Pending-Cleared |
| FT 2210 TARGET DVD MUTI STRAT 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573483-05 | Pending-Cleared |

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for 12/28/2009 through 1/8/2010**

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| Firm Name | Location | Date Received | File Number | Status |
| FT 2210 TARGET FOCUS 5 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573479-05 | Pending-Cleared |
| FT 2210 TARGET GROWTH 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573487-05 | Pending-Cleared |
| FT 2210 TARGET SMALL CAP 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573488-05 | Pending-Cleared |
| FT 2210 VALUE LINE TARGET 25 1Q 10 TERM 3 31 11 | WHEATON, IL | 12/30/2009 | 00573473-05 | Pending-Cleared |
| FT 2250 INTERNATIONAL PORTFOLIO SERIES 21 | WHEATON, IL | 12/30/2009 | 00573477-05 | Pending-Cleared |
| FT 2250 LARGE CAP PORTFOLIO SERIES 21 | WHEATON, IL | 12/30/2009 | 00573476-05 | Pending-Cleared |
| FT 2250 SMID CAP PORTFOLIO SERIES 4 | WHEATON, IL | 12/30/2009 | 00573475-05 | Pending-Cleared |
| FT 2252 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 1Q 10 TERM 4 8 11 | WHEATON, IL | 12/30/2009 | 00573468-05 | Pending-Cleared |
| FT 2283 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 19 | WHEATON, IL | 12/30/2009 | 00573467-05 | Pending-Cleared |
| FT 2284 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 20 | WHEATON, IL | 12/30/2009 | 00573466-05 | Pending-Cleared |
| FT 2285 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SEIRES 5 | WHEATON, IL | 12/30/2009 | 00573464-05 | Pending-Cleared |
| FT 2286 STRATEGIC INCOME PLUS CLOSED END PORTFOLI SERIES 17 | WHEATON, IL | 12/30/2009 | 00573465-05 | Pending-Cleared |
| 3RD AVENUE TR 3RD AVENUE INTERNATIONAL VALUE FUND INVESTOR CLASS | NEW YORK, NY | 12/29/2009 | 00573841-03 | Pending-Cleared |
| 3RD AVENUE TR 3RD AVENUE REAL ESTATE VALUE FUND INVESTOR CLASS | NEW YORK, NY | 12/29/2009 | 00573840-03 | Pending-Cleared |
| 3RD AVENUE TR 3RD AVENUE SMALL CAP VALUE FUND INVESTOR CLASS | NEW YORK, NY | 12/29/2009 | 00573839-03 | Pending-Cleared |
| 3RD AVENUE TR 3RD AVENUE VALUE FUND INVESTOR CLASS | NEW YORK, NY | 12/29/2009 | 00573842-03 | Pending-Cleared |
| CLAYMORE SECURITIES DEFINED PORTFOLIO SEIRES 650 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY SERIES 6 | LISLE, IL | 12/29/2009 | 00573409-05 | Pending-Cleared |

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| CLAYMORE SECURITIES DEFINED PORTFOLIO SEIRES 650 S&P DEFENSIVE EQUITY STRATEGY SERIES 8 | LISLE, IL | 12/29/2009 | 00573410-05 | Pending-Cleared |
| DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS C | PHILADELPHIA, PA | 12/29/2009 | 00573852-03 | Pending-Cleared |
| DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS R | PHILADELPHIA, PA | 12/29/2009 | 00573853-03 | Pending-Cleared |
| DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE GLOBAL INFRASTRUCTURE FUND CLASS A | PHILADELPHIA, PA | 12/29/2009 | 00573850-03 | Pending-Cleared |
| DE GROUP GLOBAL & INTERNATIONAL FUNDS DE MACQUARIE GLOBAL INFRASTRUCTURE FUND INSTITUTIONAL CLASS | PHILADELPHIA, PA | 12/29/2009 | 00573851-03 | Pending-Cleared |
| FINANCIAL INVESTORS TR VULCAN VALUE PARTNERS FUND | DENVER, CO | 12/29/2009 | 00573843-03 | Pending-Cleared |
| FINANCIAL INVESTORS TR VULCAN VALUE PARTNERS SMALL CAP FUND | DENVER, CO | 12/29/2009 | 00573844-03 | Pending-Cleared |
| FT 2273 PHARMACEUTICAL SELECT PORTFOLIO SERIES 32 | WHEATON, IL | 12/29/2009 | 00573411-05 | Pending-Cleared |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN NATURAL RESOURCES FUND CLASS I | BOSTON, MA | 12/29/2009 | 00573848-03 | Pending-Cleared |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN NATURAL RESOURCES FUND CLASS A | BOSTON, MA | 12/29/2009 | 00573846-03 | Pending-Cleared |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN STRATEGIC INCOME OPPORTUNITIES FUND CLASS C | BOSTON, MA | 12/29/2009 | 00573847-03 | Pending-Cleared |
| HANCOCK JOHN FUNDS 2 HANCOCK JOHN STRATEGIC INCOME OPPORTUNITIES FUND CLASS A | BOSTON, MA | 12/29/2009 | 00573845-03 | Pending-Cleared |

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| HANCOCK JOHN FUNDS 2 HANCOCK JOHN STRATEGIC INCOME OPPORTUNITIES FUND CLASS I | BOSTON, MA | 12/29/2009 | 00573849-03 | Pending-Cleared |
| NORTHERN LIGHTS FUND TR CURRENCY FUND ADVISOR CLASS | HAUPPAUGE, NY | 12/29/2009 | 00573408-03 | Pending-Cleared |
| PIMCO FUNDS PIMCO TOTAL RETURN FUND 2 CLASS P | NEWPORT BEACH, CA | 12/29/2009 | 00573854-03 | Registered |
| TR FOR PROFESSIONAL MANAGERS MARINER 130 30 FUND INSTITUTIONAL CLASS | MILWAUKEE, WI | 12/29/2009 | 00573407-03 | Pending-Cleared |
| TR FOR PROFESSIONAL MANAGERS MARINER 130 30 FUND INVESTMENT CLASS | MILWAUKEE, WI | 12/29/2009 | 00573406-03 | Pending-Cleared |
| CAUSEWAY CAPITAL MANAGEMENT TR CAUSEWAY INTERNATIONAL OPPORTUNITIES FUND INSTITUTIONAL CLASS | LOS ANGELES, CA | 12/28/2009 | 00574097-03 | Pending-Cleared |
| CAUSEWAY CAPITAL MANAGEMENT TR CAUSEWAY INTERNATIONAL OPPORTUNITIES FUND INVESTOR CLASS | LOS ANGELES, CA | 12/28/2009 | 00574098-03 | Pending-Cleared |
| CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 559 S&P FOUNDATION STRATEGY SERIES 2 | LISLE, IL | 12/28/2009 | 00550048-05 | Pending-Cleared |
| MAINSTAY FUNDS MAINSTAY TAX FREE BOND FUND CLASS I SHARES | NEW YORK, NY | 12/28/2009 | 00574096-03 | Registered |
| Number of Investment Company Filings: 128 | | | | |

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|---------------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| EAST LAKE PALOURDE 3D PROSPECT JOINT JENTURE | SAN ANTONIO, TX | 1/8/2010 | 00573879-07 | Filed |
| DHS OFFSHORE SPC | GEORGE TOWN GRAND CAYMAN, | 1/7/2010 | 00573865-07 | Filed |
| KIRANA DIVERSIFIED EQUITY FUND LP | BERWYN, IL | 1/7/2010 | 00573866-07 | Filed |

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| AFRICAN QUEEN MINES LTD | VANCOUVER BC V6B 4N8, | 1/6/2010 | 00573722-07 | Filed |
| BLACK STONE HANKS A 20 2 LP | SOUTHLAKE, TX | 1/6/2010 | 00573720-07 | Filed |
| PRIME VIEW INTERNATIONAL CO LTD | HSINCHU 300, | 1/6/2010 | 00573721-07 | Filed |
| 1 EARTH FARMS CORP | TORONTO ON M5J 2J2, | 1/5/2010 | 00573696-07 | Filed |
| AMBIENT CONTROL SYSTEMS INC | POWAY, CA | 1/5/2010 | 00573693-07 | Filed |
| FSP CENTRE POINTE 5 CORP | WAKEFIELD, MA | 1/5/2010 | 00573695-07 | Filed |
| KELSO TECHNOLOGIES INC | VANCOUVER BC V5G 2M6, | 1/5/2010 | 00573698-07 | Filed |
| SNYERGY RESOURCES CORP | PLATTEVILLE, CO | 1/5/2010 | 00573694-07 | Filed |
| ARCITERRA NATIONAL REIT INC | PHOENIX, AZ | 1/4/2010 | 00573662-07 | Filed |
| BCP 5 SPECIAL AFFILIATES LP | MILWAUKEE, WI | 1/4/2010 | 00573660-07 | Filed |
| CANDENTE GOLD CORP | VANCOUVER AB V6C 1LC, | 1/4/2010 | 00573661-07 | Filed |
| CROSSLINK VENTURES 6 LP | SAN FRANCISCO, CA | 1/4/2010 | 00573663-07 | Filed |
| GULF SOUTH ENERGY PARTNERS 2009 A LP | NEW ORLEANS, LA | 1/4/2010 | 00573659-07 | Filed |
| IBG LLC | GREENWICH, CT | 1/4/2010 | 00573697-07 | Filed |
| LIBERATOR INC | DORAVILLE, GA | 1/4/2010 | 00573664-07 | Filed |
| AVISTA CAPITAL OPPORTUNITIES FUND 2 ONSHORE LP | LOS ANGELES, CA | 12/29/2009 | 00573416-07 | Filed |
| BIG MANAGEMENT HOLDINGS LLC | CHICAGO, IL | 12/29/2009 | 00573413-07 | Filed |
| EXPLORATION CAPITAL PARTNERS 2009 LP | CARLSBAD, CA | 12/29/2009 | 00573418-07 | Filed |
| HEDGE COMMUNITY LLC | NEW YORK, NY | 12/29/2009 | 00573422-07 | Filed |
| LEXY INC | SAN FRANCISCO, CA | 12/29/2009 | 00573421-07 | Filed |
| MERIT MEZZANINE FUND 5 LP | CHICAGO, IL | 12/29/2009 | 00573419-07 | Filed |
| NEXX SYSTEMS INC | BILLERICA, MA | 12/29/2009 | 00573420-07 | Filed |
| OSMETECH PLC | PASADENA, CA | 12/29/2009 | 00573417-07 | Filed |
| STANLEY MARTIN COMMUNITIES LLC | RESTON, VA | 12/29/2009 | 00573424-07 | Filed |
| STRATEGIC CAPITAL GROWTH FUND LLC | SCOTTSDALE, AZ | 12/29/2009 | 00573415-07 | Filed |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/28/2009 through 1/8/2010**

| Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division | | | | |
|---|---------------------|----------------------|--------------------|---------------|
| Firm Name | Location | Date Received | File Number | Status |
| WOOD PROP LLC | WEST ST PAUL, MN | 12/29/2009 | 00573414-07 | Filed |
| Number of Regulation D Notice Filings: 29 | | | | |

| Franchise Law Filings Made with DFI's Securities Division | | | | |
|--|-----------------------|----------------------|--------------------|---------------|
| Legal Name / Trade Name | Location | Date Received | File Number | Status |
| Amicos Midwest Pizzeria, LLC | Bonduel, WI | 1/7/2010 | 600052 | Registered |
| BEADNIKS GROUP INC | VIRGINIA BEACH, VA | 1/7/2010 | 600051 | Registered |
| CGI INTERNATIONAL INC / COLOR GLO | EDINA, MN | 1/7/2010 | 600050 | Registered |
| COMPASS GROUP USA INC | CHARLOTTE, NC | 1/7/2010 | 600048 | Registered |
| MAD SCIENCE GROUP | MONTREAL, QC | 1/7/2010 | 600047 | Registered |
| NYLO FRANCHISING LLC | ATLANTA, GA | 1/7/2010 | 600045 | Registered |
| PERKINS & MARIE CALLENDERS INC | MEMPHIS, TN | 1/7/2010 | 600046 | Registered |
| VENDLINK | CHARLOTTE, NC | 1/7/2010 | 600049 | Registered |
| FASTFRAME USA INC | NEWBURY PARK, CA | 1/6/2010 | 600043 | Registered |
| KIDDIE ACADEMY DOMESTIC FRANCHISING LLC | BEL AIR, MD | 1/6/2010 | 600044 | Registered |
| ANNEX BRANDS INC | SAN DIEGO, CA | 1/5/2010 | 600042 | Registered |
| CHARTER PRACTICES INTERNATIONAL LLC | PORTLAND, OR | 1/5/2010 | 600040 | Registered |
| Perfection Bakeries, Inc. | Fort Wayne, IN | 1/5/2010 | 600041 | Registered |
| STEAK N SHAKE ENTERPRISES INC | INDIANAPOLIS, IN | 1/4/2010 | 600038 | Registered |
| WEBB GEORGE CORP | WAUKESHA, WI | 1/4/2010 | 600039 | Registered |
| ARTHUR MURRAY INTERNATIONAL INC | CORAL GABLES, FL | 12/29/2009 | 600033 | Registered |
| SALAD CREATIONS LLC - Area Developer | MARGATE, FL | 12/29/2009 | 600032 | Registered |
| SANDLER SYSTEMS INC | Owings Mills, MD | 12/29/2009 | 600031 | Registered |
| TA FRANCHISE SYSTEMS INC | WESTLAKE, OH | 12/29/2009 | 600030 | Registered |
| Number of Franchise Filings: 19 | | | | |

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 12/28/2009 through 1/8/2010**

| Corporate Take-Over Law Filings Made with DFI's Securities Division | |
|--|----------------------|
| Takeover Filing Reference | Date Received |
| Number of Takeover Filings: 0 | |