

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/4/2010 through 1/15/2010**

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
Number of Registration Filings: 1				

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 RELIGIOUS 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
Number of Exemption Filings: 3				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
1ST TR COMBINED SERIES 299 BUILD AMERICA BONDS PORTFOLIO SERIES 3	WHEATON, IL	1/15/2010	00574425-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 653 DELTA GLOBAL CANADIAN ENERGY TR SERIES 22	LISLE, IL	1/15/2010	00574419-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 653 DELTA GLOBAL AGRUCULTURE PORTFOLIO SERIES 9	LISLE, IL	1/15/2010	00574418-05	Pending-Cleared
DIVIDEND RULER PORTFOLIO SERIES 2010A	MONUMENT, CO	1/15/2010	00574417-05	Pending-Cleared
DOW VALUE 10 PORTFOLIO SERIES 2	MONUMENT, CO	1/15/2010	00574416-05	Pending-Cleared
FT 2258 MARKET OPPORTUNITIES PORTFOLIO SERIES 3	WHEATON, IL	1/15/2010	00574424-05	Pending-Cleared

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for 1/4/2010 through 1/15/2010**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 2259 BRAZIL PORTFOLIO SERIES 4	WHEATON, IL	1/15/2010	00574423-05	Pending-Cleared
FT 2260 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 4	WHEATON, IL	1/15/2010	00574420-05	Pending-Cleared
FT 2261 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 3	WHEATON, IL	1/15/2010	00574422-05	Pending-Cleared
FT 2272 SELECT DSIP PORTFOLIO 1ST QUARTER 2010 SERIES	WHEATON, IL	1/15/2010	00574421-05	Pending-Cleared
HIGH YIELD & INCOME CLOSED END PORTFOLIO SERIES 13	MONUMENT, CO	1/15/2010	00574415-05	Pending-Cleared
HSBC INVESTOR FUNDS HSBC INVESTOR GLOBAL EMERGING MARKETS FIXED INCOME FUND CLASS I SHARES	COLUMBUS, OH	1/14/2010	00574334-03	Registered
HSBC INVESTOR FUNDS HSBC INVESTOR GLOBAL EMERGING MARKETS FIXED INCOME FUND CLASS A SHARES	COLUMBUS, OH	1/14/2010	00574333-03	Registered
VAN KAMPEN UNIT TR SERIES 945 GLOBAL EQUITY DIVIDEND PORTFOLIO SERIES 2	OAKBROOK, IL	1/14/2010	00574315-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 946 COHEN & STEERS REIT INCOME PORTFOLIO 2010 1	OAKBROOK, IL	1/14/2010	00574321-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 946 DIVERSIFIED HEALTHCARE PORTFOLIO SERIES 50	OAKBROOK, IL	1/14/2010	00574320-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 946 ENERGY PORTFOLIO SERIES 33	OAKBROOK, IL	1/14/2010	00574318-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 946 FINANCIAL INSTITUTIONS PORTFOLIO SERIES 45	OAKBROOK, IL	1/14/2010	00574319-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 946 UTILITY INCOME PORTFOLIO SERIES 30	OAKBROOK, IL	1/14/2010	00574322-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 947 DOW JONES LARGE CAP GROWTH STRATEGY 2010 1	OAKBROOK, IL	1/14/2010	00574316-05	Pending-Cleared

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VAN KAMPEN UNIT TR SERIES 948 SELECT S&P GREATER CHINA PICKS PORTFOLIO SERIES 17	OAKBROOK, IL	1/14/2010	00574317-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 949 HOBOTSON ALTERNATIVES ALLOCATION PORTFOLIO 2010 1	OAKBROOK, IL	1/14/2010	00574314-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 950 VAN KAMPEN PREFERRED OPPORTUNITY PORTFOLIO SERIES 9	OAKBROOK, IL	1/14/2010	00574313-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 951 DOW JONES SELECT MICROCAP ENHANCED INDEX STRATEGY PORTFOLIO 2010 2	OAKBROOK, IL	1/14/2010	00574309-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 951 MID CAP STRATEGY PORTFOLIO 2010 2	OAKBROOK, IL	1/14/2010	00574310-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 951 SMALL CAP STRATEGY PORTFOLIO 2010 2	OAKBROOK, IL	1/14/2010	00574311-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 951 SMID STRATEGY PORTFOLIO 2010 2 2	OAKBROOK, IL	1/14/2010	00574312-05	Pending-Cleared
BUILD AMERICA BOND PORTFOLIO SERIES 8	MONUMENT, CO	1/13/2010	00574279-05	Pending-Cleared
FEDERATED MDT STOCK TR INSTITUTIONAL SHARES	WARRENDALE, PA	1/13/2010	00574406-03	Pending-Cleared
TCW FUNDS INC TCW EMERGING MARKETS EQUITIES FUND CLASS I	LOS ANGELES, CA	1/13/2010	00574404-03	Registered
TCW FUNDS INC TCW EMERGING MARKETS EQUITIES FUND CLASS N	LOS ANGELES, CA	1/13/2010	00574405-03	Registered
FT 2253 60 40 STRATEGIC ALLOCATION PORT 1Q 10 TERM 4 14 11	WHEATON, IL	1/12/2010	00574271-05	Pending-Cleared
FT 2253 75 25 STRATEGIC ALLOCATION PORT 1Q 10 TERM 4 14 11	WHEATON, IL	1/12/2010	00574270-05	Pending-Cleared
ADVISORONE FUNDS SHELTER FUND CLASS N	HAUPPAUGE, NY	1/11/2010	00574239-03	Pending-Cleared
CASH ASSETS TR PACIFIC CAPITAL US GOVERNMENT SECURITIES CAT ORIGINAL SHARES	NEW YORK, NY	1/11/2010	00574238-03	Pending-Cleared

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CASH ASSETS TR PACIFIC CAPITAL US GOVERNMENT SECURITIES CAT SERVICE SHARES	NEW YORK, NY	1/11/2010	00574237-03	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIO SERIES 652 CLOSED END INFRASTRUCTURE & MLP PORTFOLIO SERIES 7	LISLE, IL	1/11/2010	00574231-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIO SERIES 652 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 12	LISLE, IL	1/11/2010	00574230-05	Pending-Cleared
FT 2255 BALANCED INCOME SELECT PORTFOLIO SERIES 14	WHEATON, IL	1/11/2010	00574236-05	Pending-Cleared
FT 2256 CANADIAN ENERGY & INCOME PORTFOLIO SERIES 16	WHEATON, IL	1/11/2010	00574235-05	Pending-Cleared
FT 2257 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 2	WHEATON, IL	1/11/2010	00574232-05	Pending-Cleared
FT 2257 SMID CAPITAL STRENGTH PORTFOLIO SERIES 2	WHEATON, IL	1/11/2010	00574233-05	Pending-Cleared
FT 2274 US INFRASTRUCTURE PORTFOLIO SERIES 7	WHEATON, IL	1/11/2010	00574234-05	Pending-Cleared
LAZARD FUNDS INC LAZARD GLOBAL LTD INFRASTRUCTURE PORTFOLIO OPEN SHARES	NEW YORK, NY	1/11/2010	00574248-03	Registered
LAZARD FUNDS INC LAZARD GLOBAL LTD INFRASTRUCTURE PORTFOLIO INSTITUTIONAL SHARES	NEW YORK, NY	1/11/2010	00574247-03	Registered
NORTHERN LIGHTS FUND TR BTS BOND ASSET ALLOCATION FUND CLASS A	HAUPPAUGE, NY	1/11/2010	00574269-03	Pending-Cleared
NORTHERN LIGHTS FUND TR BULL PATH LONG SHORT FUND CLASS A	HAUPPAUGE, NY	1/11/2010	00574242-03	Pending-Cleared
NORTHERN LIGHTS FUND TR BULL PATH LONG SHORT FUND CLASS C	HAUPPAUGE, NY	1/11/2010	00574243-03	Pending-Cleared

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NORTHERN LIGHTS FUND TR BULL PATH LONG SHORT FUND CLASS I	HAUPPAUGE, NY	1/11/2010	00574244-03	Pending-Cleared
NORTHERN LIGHTS FUND TR GMG DEFENSIVE BETA FUND	HAUPPAUGE, NY	1/11/2010	00574240-03	Pending-Cleared
NORTHERN LIGHTS FUND TR MUTUALHEDGE GRONTIER LEGENS FUND CLASS A	HAUPPAUGE, NY	1/11/2010	00574245-03	Pending-Cleared
NORTHERN LIGHTS FUND TR MUTUALHEDGE GRONTIER LEGENS FUND CLASS C	HAUPPAUGE, NY	1/11/2010	00574246-03	Pending-Cleared
NORTHERN LIGHTS FUND TR WADE CORE DESTINATION FUND	HAUPPAUGE, NY	1/11/2010	00574241-03	Pending-Cleared
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
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

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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
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

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ABERDEEN FUNDS ABERDEEN ASIA BOND INSTITUTIONAL FUND INSTITUTIONAL SERVICE CLASS SHARES	COLUMBUS, OH	1/4/2010	00573681-03	Registered
AQR FUNDS AQR GLOBAL EQUITY FUND CLASS I SHARES	GREENWICH, CT	1/4/2010	00574386-03	Registered
AQR FUNDS AQR GLOBAL EQUITY FUND CLASS N SHARES	GREENWICH, CT	1/4/2010	00574387-03	Registered
BLAIR WILLIAM FUNDS LOW DURATION FUND CLASS I	CHICAGO, IL	1/4/2010	00574384-03	Registered
BLAIR WILLIAM FUNDS LOW DURATION FUND CLASS N	CHICAGO, IL	1/4/2010	00574385-03	Registered
BLAIR WILLIAM FUNDS LOW DURATION FUND INSTITUTIONAL CLASS	CHICAGO, IL	1/4/2010	00574383-03	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
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

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/4/2010 through 1/15/2010**

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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 C	MILWAUKEE, WI	1/4/2010	00573630-03	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 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
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

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/4/2010 through 1/15/2010**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
PAX WORLD FUNDS SERIES TR I ESG MANAGERS AGGRESSIVE GROWTH PORTFOLIO INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/4/2010	00574390-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS AGGRESSIVE GROWTH PORTFOLIO CLASS C	PORTSMOUTH, NH	1/4/2010	00574389-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS AGGRESSIVE GROWTH PORTFOLIO CLASS A	PORTSMOUTH, NH	1/4/2010	00574388-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS CONSERVATIVE PORTFOLIO CLASS C	PORTSMOUTH, NH	1/4/2010	00574397-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS CONSERVATIVE PORTFOLIO CLASS A	PORTSMOUTH, NH	1/4/2010	00574395-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS CONSERVATIVE PORTFOLIO INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/4/2010	00574399-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS GROWTH PORTFOLIO INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/4/2010	00574394-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS GROWTH PORTFOLIO CLASS A	PORTSMOUTH, NH	1/4/2010	00574391-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS GROWTH PORTFOLIO CLASS C	PORTSMOUTH, NH	1/4/2010	00574396-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS MODERATE PORTFOLIO CLASS C	PORTSMOUTH, NH	1/4/2010	00574392-03	Registered
PAX WORLD FUNDS SERIES TR I ESG MANAGERS MODERATE PORTFOLIO CLASS A	PORTSMOUTH, NH	1/4/2010	00574398-03	Registered

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Firm Name	Location	Date Received	File Number	Status
PAX WORLD FUNDS SERIES TR I ESG MANAGERS MODERATE PORTFOLIO INSTITUTIONAL CLASS	PORTSMOUTH, NH	1/4/2010	00574393-03	Registered
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T TOWE GLOBAL INTRASTRUCTURE FUND	BALTIMORE, MD	1/4/2010	00573645-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T TOWE GLOBAL INTRASTRUCTURE FUND ADVISOR CLASS	BALTIMORE, MD	1/4/2010	00573644-03	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
RS INVESTMENT TR RS STRATEGIC INCOME FUND CLASS Y	SAN FRANCISCO, CA	1/4/2010	00573657-03	Registered

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TR FOR PROFESSIONAL MANAGERS GERSTEIN FISHER MULTI FACTOR GROWTH EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	1/4/2010	00573658-03	Registered
Number of Investment Company Filings: 129				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MILLER MOUNTAIN PROPECT PARTNERS	BOWLING GREEN, KY	1/15/2010	00574414-07	Filed
SNI HOLDCO INC	WEST DES MOINES, IA	1/15/2010	00574412-07	Filed
CHF SOLUTIONS INC	BROOKLYN PARK, MN	1/14/2010	00574323-07	Filed
DMP ACQUISITION LLC	NEW YORK, NY	1/14/2010	00574324-07	Filed
HARGEN INC	MILWAUKEE, WI	1/14/2010	00574413-07	Filed
REVA CATALYST FUND LLC	RICHMOND, VA	1/14/2010	00574325-07	Filed
TABLOGIX INTERNATIONAL LTD	MOSCOW 115114,	1/14/2010	00574326-07	Filed
PEAK6 PERFORMANCE FUND LTD	GEORGE TOWN GRAND CAYMAN,	1/13/2010	00574282-07	Filed
TRITON PACIFIC PLATINUM FUND 3 LP	LOS ANGELES, CA	1/13/2010	00574280-07	Filed
WINTON FUTURES FUND LP US	EVERGREEN, CO	1/13/2010	00574281-07	Filed
5 STATE CONCOLIDATED 3 LTD	DALLAS, TX	1/12/2010	00574273-07	Filed
AEGIS INVESTMENT MANAGEMENT GOLF INC	VANCOUVER BC V6G 2Z6,	1/12/2010	00574272-07	Filed
CHINA BAICAOTANG MEDICINE LTD	LUSHOW CITY GUANGXI PROV,	1/11/2010	00574252-07	Filed
COMMONWEALTH INCOME & GROWTH PRIVATE FUND 4 LLC	CHADDS FORD, PA	1/11/2010	00574249-07	Filed
M KINGDOM OFFSHORE LTD	CAMANA BAY GRAND CAYMAN,	1/11/2010	00574250-07	Filed
MW COMMODITY STRATEGIES LP	NEW YORK, NY	1/11/2010	00574251-07	Filed
EAST LAKE PALOURDE 3D PROSPECT JOINT JENTURE	SAN ANTONIO, TX	1/8/2010	00573879-07	Filed

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Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
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
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
Number of Regulation D Notice Filings: 34				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Moonvision Enterprises, Inc. / Moonvision Enterprises, Inc.	Greenville, NC	1/11/2010	600054	Registered
TAX CENTERS OF AMERICA INC	RUSSELLVILLE, AR	1/11/2010	600055	Registered
Amicos Midwest Pizzeria, LLC	Bonduel, WI	1/7/2010	600052	Registered
BEADNIKS GROUP INC	VIRGINIA BEACH, VA	1/7/2010	600051	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/4/2010 through 1/15/2010**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
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
Number of Franchise Filings: 17				

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