

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/10/2010 through 5/21/2010**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BORALEX INC	MONTREAL QUEBEC H3A 1G1,	5/21/2010	00581790-01	Pending
GLADSTONE LENDING CORP	MCLEAN, VA	5/17/2010	00581631-01	Pending-Cleared
COLE CREDIT OFFICE INDUSTRIAL TR INC	PHOENIX, AZ	5/14/2010	00581601-01	Pending
COMMUNITY WEST BANCSHARES	GOLETA, CA	5/10/2010	00581057-01	Registered
Number of Registration Filings: 4				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ST LUKE MISSIONARY BAPTIST CHURCH OF HUMBLE	HUMBLE, TX	5/19/2010	00581690-08	Pending
Number of Exemption Filings: 1				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CLAYMORE SECURITIES DEFINED PORTFOLIO SERIES 689 DOW JONES GROWTH RBP FOCUS PORTFOLIO SERIES 1	LISLE, IL	5/21/2010	00581788-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 689 DOW JONES TOP CAP RBP FOCUS PORTFOLIO SERIES 1	LISLE, IL	5/21/2010	00581789-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 689 DOW JONES VALUE RBP DIVIDEND FOCUS PORTFOLIO SERIES 1	LISLE, IL	5/21/2010	00581787-05	Pending-Cleared
FBR FUNDS FBR BALANCED FUND CLASS C SHARES	BOSTON, MA	5/21/2010	00581785-03	Pending-Cleared
FT 2423 DEFENSE EQUITY PROTFOLIO SERIES 2	WHEATON, IL	5/21/2010	00581786-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
HARTFORD MUTAUL FUNDS INC HARTFORD FUNDAMENTAL GROWTH FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581766-03	Pending-Cleared
HARTFORD MUTUAL FUND HARTFORD INTERNATIONAL VALUE FUND CLASS I SHARES	SIMSBURY, CT	5/20/2010	00581737-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD BALANCED INCOME FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581758-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD BALANCED INCOME FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581759-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD BALANCED INCOME FUND CLASS R3 SHARES	SIMSBURY, CT	5/20/2010	00581760-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FUNDAMENTAL GROWTH FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581767-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FUNDAMENTAL GROWTH FUND CLASS I SHARES	SIMSBURY, CT	5/20/2010	00581764-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD FUNDAMENTAL GROWTH FUND CLASS R3 SHARES	SIMSBURY, WI	5/20/2010	00581765-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL ALL ASSET FUND CLASS A SHARES	SIMSBURY, CT	5/20/2010	00581751-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL ALL ASSET FUND CLASS C SHARES	SIMSBURY, CT	5/20/2010	00581752-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL ALL ASSET FUND CLASS I SHARES	SIMSBURY, CT	5/20/2010	00581753-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL ALL ASSET FUND CLASS R3 SHARES	SIMSBURY, CT	5/20/2010	00581754-03	Pending-Cleared

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HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL ALL ASSET FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581756-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL ALL ASSET FUND CLASS Y SHARES	SIMSBURY, CT	5/20/2010	00581757-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS A SHARES	SIMSBURY, CT	5/20/2010	00581744-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS C SHARES	SIMSBURY, CT	5/20/2010	00581745-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS I SHARES	SIMSBURY, CT	5/20/2010	00581746-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS R3 SHARES	SIMSBURY, CT	5/20/2010	00581747-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581748-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581749-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GLOBAL REAL ASSET FUND CLASS Y SHARES	SIMSBURY, CT	5/20/2010	00581750-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD GOLBAL ALL ASSET FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581755-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL SMALL CO FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581761-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL SMALL CO FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581762-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL SMALL CO FUND CLASS R3 SHARES	SIMSBURY, CT	5/20/2010	00581763-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL VALUE FUND CLASS Y SHARES	SIMSBURY, CT	5/20/2010	00581743-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL VALUE FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581734-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL VALUE FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581735-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL VALUE FUND CLASS R3 SHARES	SIMSBURY, CT	5/20/2010	00581736-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL VALUE FUND CLASS A SHARES	SIMSBURY, CT	5/20/2010	00581738-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD INTERNATIONAL VALUE FUND CLASS C SHARES	SIMSBURY, CT	5/20/2010	00581739-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MID CAP VALUE FUND CLASS R3 SHARES	SIMSBURY, CT	5/20/2010	00581768-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MID CAP VALUE FUND CLASS I SHARES	SIMSBURY, CT	5/20/2010	00581769-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MID CAP VALUE FUND CLASS R4 SHARES	SIMSBURY, CT	5/20/2010	00581770-03	Pending-Cleared
HARTFORD MUTUAL FUNDS INC HARTFORD MID CAP VALUE FUND CLASS R5 SHARES	SIMSBURY, CT	5/20/2010	00581771-03	Pending-Cleared
NEUBERG BERMAN EQUITY FUNDS NEUBERGER BERMAN FOCUS FUND CLASS A SHARES	NEW YORK, NY	5/20/2010	00581740-03	Pending-Cleared

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NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN EMERGING MARKETS EQUITY FUND CLASS R3 SHARES	NEW YORK, NY	5/20/2010	00581723-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN EQUITY INCOME FUND CLASS R3 SHARES	NEW YORK, NY	5/20/2010	00581724-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN FOCUS FUND CLASS C SHARES	NEW YORK, NY	5/20/2010	00581741-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN FOCUS FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	5/20/2010	00581742-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN PARTNERS FUND CLASS R3 SHARES	NEW YORK, NY	5/20/2010	00581731-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN PARTNERS FUND CLASS C SHARES	NEW YORK, NY	5/20/2010	00581732-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN PARTNERS FUND CLASS A SHARES	NEW YORK, NY	5/20/2010	00581733-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN REAL ESTATE FUND CLASS R3 SHARES	NEW YORK, NY	5/20/2010	00581725-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN REAL ESTATE FUND CLASS C SHARES	NEW YORK, NY	5/20/2010	00581726-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN REAL ESTATE FUND CLASS A SHARES	NEW YORK, NY	5/20/2010	00581729-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN REGENCY FUND CLASS C SHARES	NEW YORK, NY	5/20/2010	00581727-03	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN REGENCY FUND CLASS R3 SHARES	NEW YORK, NY	5/20/2010	00581728-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN REGENCY FUND CLASS A SHARES	NEW YORK, NY	5/20/2010	00581730-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN MUNICIPAL INTERMEDIATE BOND FUND INSTITUTIONAL CLASS SHARE	NEW YORK, NY	5/20/2010	00581720-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN MUNICIPAL INTERMEDIATE BOND FUND CLASS C SHARES	NEW YORK, NY	5/20/2010	00581721-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN MUNICIPAL INTERMEDIATE BOND FUND CLASS A SHARES	NEW YORK, NY	5/20/2010	00581722-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN SHORT DURATION BOND FUND CLASS C SHARES	NEW YORK, NY	5/20/2010	00581717-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN SHORT DURATION BOND FUND INSTITUTIONAL CLASS SHARES	NEW YORK, NY	5/20/2010	00581718-03	Pending-Cleared
NEUBERGER BERMAN INCOME FUNDS NEUBERGER BERMAN SHORT DURATION BOND FUND CLASS A SHARES	NEW YORK, NY	5/20/2010	00581719-03	Pending-Cleared
ADVISORS CORPORATE TR CUTWATER INCOME OPPORTUNITIES PORTFOLIO SERIES 1	MONUMENT, CO	5/18/2010	00581657-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 656 CLAYMORE GUGGENHEIM INTERMEDIATE INVESTMENT GRADE CORPORATE TR SERIES	LISLE, IL	5/18/2010	00581668-05	Pending-Cleared
FT 2400 EQUITY INCOME PLUS PORTFOLIO SERIES 23	WHEATON, IL	5/18/2010	00581663-05	Pending-Cleared
FT 2426 REIT GROWTH & INCOME PLUS 5 YEAR SERIES 4	WHEATON, IL	5/18/2010	00581662-05	Pending-Cleared

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FT 2428 HIGHT YIELD INCOME CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	5/18/2010	00581664-05	Pending-Cleared
FT 2455 CONVERTIBLE & INCOME SELECT CLOSED END PORTFOLIO SERIES 24	WHEATON, IL	5/18/2010	00581665-05	Pending-Cleared
FT 2459 INTEREST RATE HEDGE PORTFOLIO SERIES 7	WHEATON, IL	5/18/2010	00581661-05	Pending-Cleared
FT 2463 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 22	WHEATON, IL	5/18/2010	00581667-05	Pending-Cleared
FT 2473 SENIOR LOAN & LIMITED DURATION PLUS CLOSED END PORTFOLIO SERIES 13	WHEATON, IL	5/18/2010	00581666-05	Pending-Cleared
GLOBAL GOLD INCOME PORTFOLIO SERIES 3 AN SMC PORTFOLIO	MONUMENT, CO	5/18/2010	00581660-05	Pending-Cleared
INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 22	MONUMENT, CO	5/18/2010	00581658-05	Pending-Cleared
NATURAL RESOURCES PROTFOLO SERIES 5	MONUMENT, CO	5/18/2010	00581659-05	Pending-Cleared
SCHWARTZ INVESTMENT TR AVE MARIA WORLD EQUITY FUND	CINCINNATI, OH	5/18/2010	00581681-03	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 986 PREFERRED SECURITIES PORFOLIO SERIES 28	OAKBROOK, IL	5/18/2010	00581675-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 987 CONSERVATIVE INCOME ALLOCATION PORTFOLIO SERIES 4	OAKBROOK, IL	5/18/2010	00581673-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 988 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2010 3	OAKBROOK, IL	5/18/2010	00581671-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 988 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2010 3	OAKBROOK, IL	5/18/2010	00581672-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 989 ETF ALLOCATION PORTFOLIO SERIES 3	OAKBROOK, IL	5/18/2010	00581674-05	Pending-Cleared

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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
VAN KAMPEN UNIT TR SERIES 990 ARDOUR GLOBAL ALTERNATIVE ENERGY PORTFOLIO 2010 3	OAKBROOK, IL	5/18/2010	00581670-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 990 BRIC OPPORTUNITY PORTFOLIO 2010 3	OAKBROOK, IL	5/18/2010	00581669-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 686 CLAYMORE GUGGENHEIM HIGHT YIELD TR SERIES 1	LISLE, IL	5/17/2010	00581632-05	Pending-Cleared
GLOBAL FINANCIALS PROTFOlio SERIES 2	MONUMENT, CO	5/17/2010	00581633-05	Pending-Cleared
LEUTHOLD FUNDS INC LEUTHOLD GLOBAL INDUSTRIES FUND INSTITUTIONAL CLASS SHARES	MILWAUKEE, WI	5/17/2010	00581636-03	Pending-Cleared
LEUTHOLD FUNDS INC LEUTHOLD GLOBAL INDUSTRIES FUND RETAIL CLASS SHARES	MILWAUKEE, WI	5/17/2010	00581637-03	Pending-Cleared
STRATEGIC CORE ALL EQUITY PORTFOLIO SERIES 16	MONUMENT, CO	5/17/2010	00581634-05	Pending-Cleared
TACTICAL INCOME CLOSED END PORTFOLIO SERIES 11	MONUMENT, CO	5/17/2010	00581635-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIO SERIES 684 ZACKS INCOME ADVANTAGE STRATEGY SERIES 9	LISLE, IL	5/14/2010	00581611-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIO SERIES 685 DELTA GLOBAL GOLD PRODUCERS PORTFOLIO SERIES 3	LISLE, IL	5/13/2010	00581581-05	Pending-Cleared
FT 2454 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 12	WHEATON, IL	5/13/2010	00581582-05	Pending-Cleared
FT 2467 BABY BOOMER TRANSITION PORTFOLIO SERIES	WHEATON, IL	5/13/2010	00581583-05	Pending-Cleared
ING FUNDS TR ING CLASSIC MONEY MARKET FUND CLASS I	SCOTTSDALE, AZ	5/12/2010	00581258-03	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
ING FUNDS TR ING HIGH YIELD BOND FUND CLASS W	SCOTTSDALE, AZ	5/12/2010	00581259-03	Registered
ING MAYFLOWER TR ING INTERNATIONAL VALUE FUND CLASS W	SCOTTSDALE, AZ	5/12/2010	00581256-03	Registered
ING MUTUAL FUNDS ING GLOBAL BOND FUND CLASS W	SCOTTSDALE, AZ	5/12/2010	00581254-03	Registered
ING MUTUAL FUNDS ING GLOBAL VALUE CHOICE FUND CLASS W	SCOTTSDALE, AZ	5/12/2010	00581257-03	Registered
ING MUTUAL FUNDS ING INTERNATIONAL CAPITAL APPRECIATION FUND CLASS W	SCOTTSDALE, AZ	5/12/2010	00581253-03	Registered
ING MUTUAL FUNDS ING INTERNATIONAL VALUE CHOICE FUND CLASS W	SCOTTSDALE, AZ	5/12/2010	00581252-03	Registered
ING MUTUAL FUNDS ING RUSSIA FUND CLASS I	SCOTTSDALE, AZ	5/12/2010	00581255-03	Registered
1ST TR COMBINED SERIES 312 BUILD AMERICA BONDS PORTFOLIO SERIES 11	WHEATON, IL	5/11/2010	00581218-05	Pending-Cleared
DOW VALUE 10 PORTFOLIO SERIES 4	MONUMENT, CO	5/11/2010	00581209-05	Pending-Cleared
FT 2326 DIVIDEND INCOME TR SERIES 8	WHEATON, IL	5/11/2010	00581212-05	Pending-Cleared
FT 2414 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 15	WHEATON, IL	5/11/2010	00581214-05	Pending-Cleared
FT 2421 ALTERNATIVE ENERGY PORTFOLIO SERIES 14	WHEATON, IL	5/11/2010	00581211-05	Pending-Cleared
FT 2424 UTILITIES SELECT PORTFOLIO SERIES 13	WHEATON, IL	5/11/2010	00581213-05	Pending-Cleared
FT 2425 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 4	WHEATON, IL	5/11/2010	00581216-05	Pending-Cleared
FT 2432 BICK PORTFOLIO SERIES 2	WHEATON, IL	5/11/2010	00581217-05	Pending-Cleared
FT 2445 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 20	WHEATON, IL	5/11/2010	00581215-05	Pending-Cleared
FT 2458 INTEREST RATE HEDGE PORTFOLIO SERIES 6	WHEATON, IL	5/11/2010	00581219-05	Pending-Cleared

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FT 2464 INCOME ALLOCATION CLOSE END MAY 10 SERIES B	WHEATON, IL	5/11/2010	00581220-05	Pending-Cleared
FT 2465 MARKET OPPORTUNITIES PORTFOLIO SERIES 4	WHEATON, IL	5/11/2010	00581221-05	Pending-Cleared
FT 2466 STRATEIC INCOME CLOSED END PORTFOLIO SERIES 30	WHEATON, IL	5/11/2010	00581222-05	Pending-Cleared
GLOBAL ENERGY INCOME PORTFOLIO SERIES 2 AN SMC PORTFOLIO	MONUMENT, CO	5/11/2010	00581208-05	Pending-Cleared
SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO SERIES 16 2 YR	MONUMENT, CO	5/11/2010	00581210-05	Pending-Cleared
1ST TR COMBINED SERIES 311 BUILD AMERICA BONDS PORTFOLIO 10 20 YEAR SERIES 2	WHEATON, IL	5/10/2010	00581179-05	Pending-Cleared
CATALYST FUNDS COMPASS EMP MULTI ASSET BALANCED FUND CLASS A	WILLOW GROVE, PA	5/10/2010	00581186-03	Pending-Cleared
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE REAL ESTATE FUND CLASS A SHARES	BOSTON, MA	5/10/2010	00581204-03	Pending-Cleared
FT 20401 EQUITY CLOSED END PORTFOLIO SERIES 11	WHEATON, IL	5/10/2010	00581183-05	Pending-Cleared
FT 2398 DIVERSIFIED INCOME & GROWTH PORTFOLIO SUMMER 2010 SERIES	WHEATON, IL	5/10/2010	00581185-05	Pending-Cleared
FT 2408 WORLDWIDE ECONOMIC RECOVERY PORTFOLIO SERIES	WHEATON, IL	5/10/2010	00581176-05	Pending-Cleared
FT 2413 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 23	WHEATON, IL	5/10/2010	00581180-05	Pending-Cleared
FT 2447 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 11	WHEATON, IL	5/10/2010	00581177-05	Pending-Cleared
FT 2449 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	5/10/2010	00581184-05	Pending-Cleared
FT 2450 PREFERRE INCOME PORTFOLIO SERIES 36	WHEATON, IL	5/10/2010	00581182-05	Pending-Cleared
FT 2451 HIGH DIVIDEND EQUITY PORTFOLIO SERIES	WHEATON, IL	5/10/2010	00581178-05	Pending-Cleared

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FT 2457 INTEREST RATE HEDGE PORTFOLIO SERIES 5	WHEATON, IL	5/10/2010	00581181-05	Pending-Cleared
Number of Investment Company Filings: 125				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CITY FINANCE CO LLC	NEW YORK, NY	5/21/2010	00581792-07	Filed
EUROPAC ENERGY 2 LLC	DENVER, CO	5/21/2010	00581793-07	Filed
WESTON SOLUTIONS HOLDINGS INC	BERWYN, PA	5/21/2010	00581791-07	Filed
MORGAN STANLEY PRIVATE MARKETS FUND EMPLOYEE INVESTORS 5 LP	CONSHOHOCKE N, PA	5/20/2010	00581777-07	Filed
SAB EQUITY PARTNERSHIP 2 LP	SAN ANTONIO, TX	5/20/2010	00581776-07	Filed
SAB EQUITY PARTNERSHIP 3 LLP	SAN ANTONIO, TX	5/20/2010	00581775-07	Filed
SAB EQUITY PARTNERSHIP LP	SAN ANTONIO, TX	5/20/2010	00581773-07	Filed
SAB VALUE OPPORTUNITIES FUND LP	SAN ANTONIO, TX	5/20/2010	00581774-07	Filed
ENERVEST ENERGY INSTITUTIONAL FUND 12 A LP	HOUSTON, TX	5/19/2010	00581692-07	Filed
HMLP MULTI STRATEGY PLUS PRIVATE INVESTORS LLC	NEW YORK, NY	5/19/2010	00581691-07	Filed
OURSTAGE INC	CHELMSFORD, MA	5/19/2010	00581709-07	Filed
RSF MEZZANINE FUND LP	SAN FRANCISCO, CA	5/19/2010	00581708-07	Filed
TAMARON RANCH 79 INVESTORS LLC	PHOENIX, AZ	5/19/2010	00581693-07	Filed
7 CANYONS RECAP LLC	SCOTTSDALE, AZ	5/18/2010	00581677-07	Filed
FRONTPOINT OFFSHORE QUANTITATIVE MACRO FUND LTD	GREENWICH, CT	5/18/2010	00581678-07	Filed
GROWTH CAPITAL DIVERSIFIED FUND LP	DALLAS, TX	5/18/2010	00581680-07	Filed
PETROQUEST GLOBAL INC	DALLAS, TX	5/18/2010	00581679-07	Filed
ROSETTACONJUGON 3 LLC	LAKE FOREST, IL	5/18/2010	00581676-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
BEHAVIORAL RECOGNITION SYSTEMS INC	HOUSTON, TX	5/17/2010	00581643-07	Filed
BLUEPAC DELILAH LP	DALLAS, TX	5/17/2010	00581641-07	Filed
GOLDENTREE CLO DEBT INVESTMENT FUND LP	NEW YORK, NY	5/17/2010	00581640-07	Filed
LEMKO CORP	SCHAUMBURG, IL	5/17/2010	00581638-07	Filed
LEVEL ONE BANCORP INC	FARMINGTON HILL, MI	5/17/2010	00581639-07	Filed
QUANTUM FUEL SYSTEMS TECHNOLOGIES WORLDWIDE INC	IRVINE, CA	5/17/2010	00581642-07	Filed
APOSTLE HIGHLANDS INC	BAYFIELD, WI	5/14/2010	00581606-07	Filed
CARDIODX INC	PALO ALTO, CA	5/14/2010	00581615-07	Filed
CC ARB FUND LLC	CHICAGO, IL	5/14/2010	00581608-07	Filed
CHINA CENTURY DRAGON MEDIA INC	JIANBEI HOZHOU CITY,	5/14/2010	00581609-07	Filed
MAITLAND RE JOINT VENTURE	PLANO, TX	5/14/2010	00581607-07	Filed
US DEBT RECOVERY 5 LP	INCOLINE VILLAGE, NV	5/14/2010	00581610-07	Filed
VPE ENERGY FUND 1 LP	BOERNE, TX	5/14/2010	00581605-07	Filed
CLIFFS CLUB & HOSPITALITY GROUP INC	TRAVELERS REST, SC	5/13/2010	00581586-07	Filed
GREENLIGHT CAPITAL GOLD LTD	NEW YORK, NY	5/13/2010	00581585-07	Filed
GREENLIGHT CAPITAL OFFSHORE GOLD LTD	NEW YORK, NY	5/13/2010	00581584-07	Filed
EAST ASIA MENERALS CORP	VANCOUVER BC V6C 2W2,	5/12/2010	00581231-07	Filed
TV GOODS HOLDING CORP	CLEARWATER, FL	5/12/2010	00581230-07	Filed
PARTNERS GROUP PRIVATE EQUITY LLC	NEW YORK, NY	5/11/2010	00581223-07	Filed
2010 GLASSCOCK RANCH PROGRAM LP	BOWLING GREEN, KY	5/10/2010	00581187-07	Filed
AEI SERMAT INVESTMENTS 2 LLC	CHICAGO, IL	5/10/2010	00581189-07	Filed
AMERICAN METRO BANCORP INC	CHICAGO, IL	5/10/2010	00581188-07	Filed
NOBLE ROYALTY ACCESS FUND 7 LP	ADDISON, TX	5/10/2010	00581190-07	Filed
RPIVA TECHNOLOGIES INC	AUGUSTA, MI	5/10/2010	00581198-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
STEADFAST COMMERCIAL INVESTMENTS LLC	IRVINE, CA	5/10/2010	00581191-07	Filed
ZEPPELINN ENERGY LP	SAN ANTONIO, TX	5/10/2010	00581197-07	Filed
Number of Regulation D Notice Filings: 44				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Falbo Bros Franchising, LLC / Falbo Bros Pizzeria	Madison, WI	5/21/2010	600978	Registered
PACIFIC PRIDE SERVICES LLC	SALME, OR	5/20/2010	600980	Registered
AMERICAN FRANCHISE SYSTEMS LLC / Dryer Vent Wizard	WARREN, MI	5/19/2010	600976	Registered
Dr. Energy Saver, LLC	Seymour, CT	5/19/2010	600986	Registered
JIFFY LUBE INTERNATIONAL INC	HOUSTON, TX	5/19/2010	600985	Registered
PET SUPPLIES PLUS USA INC	FARMINGTON HILLS, MI	5/19/2010	600987	Registered
TINDER BOX INTERNATIONAL LTD	BALA CYNWYD, PA	5/19/2010	600981	Registered
MEGADANCE USA CORP / FRED ASTAIRE FRANCHISED DANCE STUDIO	LONGMEADOW, MA	5/18/2010	600974	Registered
Conspire! Franchising, LLC	Colorado Springs, CO	5/18/2010	600984	Registered
INXPRESS LLC	SALT LAKE CITY, UT	5/18/2010	600982	Registered
PRIMROSE SCHOOL FRANCHISING CO	ACWORTH, GA	5/18/2010	600983	Registered
RAPID REFILL CORP	CHANHASSEN, MN	5/17/2010	600973	Registered
UNITED COUNTRY REAL ESTATE INC	KANSAS CITY, MO	5/17/2010	600966	Registered
Physician Assistant Solutions, LLC	Denver, CO	5/14/2010	600957	Registered
BB FRANCHISING LLC	Dallas, TX	5/14/2010	600963	Registered
BROADWAY STATION RESTAURANTS INC	WOODBURY, MN	5/14/2010	600961	Registered
CRAIG JENNY FRANCHISING LLC	CARLSBAD, CA	5/14/2010	600962	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 5/10/2010 through 5/21/2010**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
FOOT SOLUTIONS INC	MARIETTA, GA	5/13/2010	600960	Registered
SBARRO INC	MELVILLE, NY	5/13/2010	600959	Registered
Sark Services, LLC / Jack of All Trades Handyman	Rhineland, WI	5/12/2010	600955	Registered
COIT SERVICES INC	BURLINGAME, CA	5/12/2010	600956	Registered
Success Business Solutions, Inc. / Midwest Labor Solutions	Madison, WI	5/11/2010	600947	Registered
ARFMANN MARKETING LLC	PALM HARBOR, FL	5/11/2010	600954	Registered
FC FRANCHISING SYSTEMS INC / Fresh Coat	CINCINNATI, OH	5/11/2010	600952	Registered
NEXTAGE REALTY INTERNATIONAL LLC	JOHNS CREEK, GA	5/11/2010	600953	Registered
LIL ANGELS LLC	MEMPHIS, TN	5/10/2010	600950	Registered
Number of Franchise Filings: 26				

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