

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 9/13/2010 through 9/24/2010**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN REALTY CAPITAL RETAIL CENTERS OF AMERICA INC	NEW YORK, NY	9/21/2010	00592283-01	Pending
BEHRINGER HARVARD OPPORTUNITY REIT 2 INC	ADDISON, TX	9/20/2010	00592263-01	Pending
CHAPEL ROCK CHRISTIAN CHURCH INC	INDIANAPOLIS, IN	9/20/2010	00592264-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/14/2010	00590862-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/14/2010	00590861-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/14/2010	00590859-02	Pending
ALLIANCE DEVELOPMENT FUND INC	COLORADO SPRINGS, CO	9/14/2010	00590860-02	Pending
Number of Registration Filings: 7				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
UNIVERSITY OF NOTRE DAME DU LAC	NOTRE DAME, IN	9/22/2010	00592298-08	Pending
MSB BANCORP INC	MARION, WI	9/20/2010	00592274-08	Pending
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 2490 BASIC MATERIALS SELECT PORTFOLIO SERIES 8	WHEATON, IL	9/24/2010	00593415-05	Pending-Cleared
FT 2594 CAPITAL STRENGTH PORTFOLIO SERIES 9	WHEATON, IL	9/24/2010	00593418-05	Pending-Cleared
FT 2611 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 2	WHEATON, IL	9/24/2010	00593417-05	Pending-Cleared
FT 2631 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 17	WHEATON, IL	9/24/2010	00593416-05	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
ADVISORS CORPORATE TR CUTWATER INCOME OPPORTUNITES PORTFOLIO SERIES 5	MONUMENT, CO	9/23/2010	00593261-05	Pending-Cleared
AGRICULTURE OPPORTUNITY PORTFOLIO SERIES 6	MONUMENT, CO	9/23/2010	00592294-05	Pending-Cleared
COLUMBIA FRONTIER FUND INC CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593311-03	Pending-Cleared
COLUMBIA FRONTIER FUND INC CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593313-03	Pending-Cleared
COLUMBIA FRONTIER FUND INC CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593315-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA INTERNATIONAL VALUE FUND CLASS R	BOSTON, MA	9/23/2010	00593331-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA LARGE CAP CORE FUND CLASS W	BOSTON, MA	9/23/2010	00593335-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA LARGE CAP VALUE FUND CLASS W	BOSTON, MA	9/23/2010	00593337-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA MARSICO GROWTH FUND CLASS W	BOSTON, MA	9/23/2010	00593332-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA MID CAP VALUE FUND CLASS W	BOSTON, MA	9/23/2010	00593334-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA MULTI ADVISOR INTERNATIONAL EQUITY FUND CLASS W	BOSTON, MA	9/23/2010	00593330-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA SHORT TERM BOND FUND CLASS W	BOSTON, MA	9/23/2010	00593333-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA SHORT TERM BOND FUND CLASS R	BOSTON, MA	9/23/2010	00593336-03	Pending-Cleared
COLUMBIA GOVERNMENT MONEY MARKET FUND INC CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593363-03	Pending-Cleared
COLUMBIA GOVERNMENT MONEY MARKET FUND INC CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593375-03	Pending-Cleared
COLUMBIA SELIGMAN COMMUNICATIONS & INFORMATION FUND INC CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593299-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
COLUMBIA SELIGMAN COMMUNICATIONS & INFORMATION FUND INC CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593312-03	Pending-Cleared
COLUMBIA SELIGMAN COMMUNICATIONS & INFORMATION FUND INC CLASS R3	MINNEAPOLIS, MN	9/23/2010	00593318-03	Pending-Cleared
COLUMBIA SELIGMAN COMMUNICATIONS & INFORMATION FUND INC CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593301-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA FLOATING RATE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593322-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA FLOATING RATE FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593300-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA INCOME OPPORTUNITIES FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593302-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA INCOME OPPORTUNITIES FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593304-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA INCOME OPPORTUNITIES FUND CLASS W	MINNEAPOLIS, MN	9/23/2010	00593314-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA INFLATION PROTECTED SECURITIES FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593306-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA INFLATION PROTECTED SECURITIES FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593320-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA LTD DURATION CREDIT FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593316-03	Pending-Cleared
RIVERSOURCE DIVERSIFIED INCOME SERIES INC COLUMBIA DIVERSIFIED BOND FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593303-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
RIVERSOURCE EQUITY SERIES INC COLUMBIA MID CAP GROWTH OPPORTUNITY FUND CLASS R3	MINNEAPOLIS, MN	9/23/2010	00593307-03	Pending-Cleared
RIVERSOURCE EQUITY SERIES INC COLUMBIA MID CAP GROWTH OPPORTUNITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593309-03	Pending-Cleared
RIVERSOURCE EQUITY SERIES INC COLUMBIA MID CAP GROWTH OPPORTUNITY FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593305-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA ABSOLUTE RETURN CURRENCY & INCOME FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593362-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA EMERGING MARKETS OPPORTUNITY FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593369-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA EMERGING MARKETS OPPORTUNITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593371-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA EMERGING MARKETS OPPORTUNITY FUND CLASS W	MINNEAPOLIS, MN	9/23/2010	00593383-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA EMERGING MARKETS BOND FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593377-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA GLOBAL BOND FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593379-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA GLOBAL BOND FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593373-03	Pending-Cleared
RIVERSOURCE GLOBAL SERIES INC COLUMBIA GLOBAL EQUITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593361-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
RIVERSOURCE GLOBAL SERIES INC COLUMBIA GLOBAL EXTENDED ALPHA FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593364-03	Pending-Cleared
RIVERSOURCE GOVERNMENT INCOME SERIES INC COLUMBIA US GOVERNMENT MORTGAGE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593325-03	Pending-Cleared
RIVERSOURCE GOVERNMENT INCOME SERIES INC RIVERSOURCE SHORT DURATION US GOVERNMENT FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593323-03	Pending-Cleared
RIVERSOURCE HIGH YIELD INCOME SERIES INC COLUMBIA HIGH YIELD BOND FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593366-03	Pending-Cleared
RIVERSOURCE INCOME SERIES INC COLUMBIA INCOME BUILDER FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593403-03	Pending-Cleared
RIVERSOURCE INCOME SERIES INC COLUMBIA INCOME BUILDER FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593393-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL MANAGERS SERIES INC COLUMBIA MULTI ADVISOR INTERNATIONAL VALUE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593372-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL MANAGERS SERIES INC RIVERSOURCE PARTNERS INTERNATIONAL SMALL CAP FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593374-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL MANAGERS SERIES INC RIVERSOURCE PARTNERS INTERNATIONAL SELECT GROWTH FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593368-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL MANAGERS SERIES INC RIVERSOURCE PARTNERS INTERNATIONAL SMALL CAP FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593376-03	Pending-Cleared

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RIVERSOURCE INTERNATIONAL MANAGERS SERIES INC RIVERSOURCE PARTNERS INTERNATIONAL SELECT GROWTH FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593370-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL SERIES INC COLUMBIA ASIA PACIFIC EX JAPAN FUND CLASS A	MINNEAPOLIS, MN	9/23/2010	00593380-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL SERIES INC COLUMBIA ASIA PACIFIC EX JAPAN FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593384-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL SERIES INC COLUMBIA ASIA PACIFIC EX JAPAN FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593385-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL SERIES INC COLUMBIA ASIA PACIFIC EX JAPAN FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593382-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL SERIES INC COLUMBIA ASIA PACIFIC EX JAPAN FUND CLASS I	MINNEAPOLIS, MN	9/23/2010	00593413-03	Pending-Cleared
RIVERSOURCE INTERNATIONAL SERIES INC COLUMBIA EUROPEAN EQUITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593378-03	Pending-Cleared
RIVERSOURCE INVESTMENT SERIES INC COLUMBIA DIVERSIFIED EQUITY INCOME FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593389-03	Pending-Cleared
RIVERSOURCE INVESTMENT SERIES INC COLUMBIA LARGE GROWTH QUANTITATIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593391-03	Pending-Cleared
RIVERSOURCE INVESTMENT SERIES INC COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593407-03	Pending-Cleared
RIVERSOURCE INVESTMENT SERIES INC COLUMBIA MID CAP VALUE OPPORTUNITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593401-03	Pending-Cleared

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RIVERSOURCE INVESTMENT SERIES INC RIVERSOURCE BALANCED FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593409-03	Pending-Cleared
RIVERSOURCE INVESTMENT SERIES INC RIVERSOURCE BALANCED FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593387-03	Pending-Cleared
RIVERSOURCE LARGE CAP SERIES INC COLUMBIA LARGE CORE QUANTITATIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593395-03	Pending-Cleared
RIVERSOURCE MANAGERS SERIES INC COLUMBIA MULTI ADVISOR SMALL CAP VALUE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593412-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER CONSERVATIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593396-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER MODERATE CONSERVATIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593404-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER CONSERVATIVE FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593394-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER MODERATE CONSERVATIVE FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593402-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER AGGRESSIVE FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593390-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER MODERATE AGGRESSIVE FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593398-03	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
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER MODERATE FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593406-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER AGGRESSIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593392-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER MODERATE AGGRESSIVE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593400-03	Pending-Cleared
RIVERSOURCE MARKET ADVANTAGE SERIES INC COLUMBIA PORTFOLIO BUILDER MODERATE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593408-03	Pending-Cleared
RIVERSOURCE MONEY MARKET SERIES INC COLUMBIA MONEY MARKET FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593410-03	Pending-Cleared
RIVERSOURCE SECTOR SERIES INC COLUMBIA DIVIDEND OPPORTUNITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593338-03	Pending-Cleared
RIVERSOURCE SECTOR SERIES INC RIVERSOURCE REAL ESTATE FUND CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593340-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA 120 20 CONTRARIAN EQUITY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593347-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA MARSICO FLEXIBLE CAPITAL FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593328-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA MARSICO FLEXIBLE CAPITAL FUND CLASS A	MINNEAPOLIS, MN	9/23/2010	00593326-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA MARSICO FLEXIBLE CAPITAL FUND CLASS R	MINNEAPOLIS, MN	9/23/2010	00593329-03	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
RIVERSOURCE SERIES TR COLUMBIA MARSICO FLEXIBLE CAPITAL FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593327-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RECOVERY & INFRASTRUCTURE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593357-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2010 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593339-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2015 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593355-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2020 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593341-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2025 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593351-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2030 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593343-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2035 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593359-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2040 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593345-03	Pending-Cleared
RIVERSOURCE SERIES TR COLUMBIA RETIREMENT PLUS 2045 FUND CLASS C	MINNEAPOLIS, MN	9/23/2010	00593353-03	Pending-Cleared
RIVERSOURCE SPECIAL TX EX SERIES TR COLUMBIA MN TX EX FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593342-03	Pending-Cleared
RIVERSOURCE STRATEGIC ALLOCATION SERIES INC COLUMBIA STRATEGIC ALLOCATION FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593349-03	Pending-Cleared
RIVERSOURCE STRATEGY SERIES INC COLUMBIA EQUITY VALUE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593344-03	Pending-Cleared
RIVERSOURCE TX EX SERIES INC COLUMBIA AMT FREE TX EX BOND FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593346-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
SELIGMAN CAPITAL FUND INC CLASS R3	MINNEAPOLIS, MN	9/23/2010	00593308-03	Pending-Cleared
SELIGMAN CAPITAL FUND INC CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593324-03	Pending-Cleared
SELIGMAN CAPITAL FUND INC CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593310-03	Pending-Cleared
SELIGMAN GLOBAL FUND SERIES INC COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593317-03	Pending-Cleared
SELIGMAN GLOBAL FUND SERIES INC COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593321-03	Pending-Cleared
SELIGMAN GLOBAL FUND SERIES INC COLUMBIA SELIGMAN GLOBAL TECHNOLOGY FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593319-03	Pending-Cleared
SELIGMAN GROWTH FUND INC CLASS R3	MINNEAPOLIS, MN	9/23/2010	00593365-03	Pending-Cleared
SELIGMAN GROWTH FUND INC CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593381-03	Pending-Cleared
SELIGMAN GROWTH FUND INC CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593367-03	Pending-Cleared
SELIGMAN LASALLE REAL ESTATE FUND SERIES INC RIVERSOURCE LASALLE GLOBAL REAL ESTATE FUND CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593397-03	Pending-Cleared
SELIGMAN LASALLE REAL ESTATE FUND SERIES INC RIVERSOURCE LASALLE GLOBAL REAL ESTATE FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593405-03	Pending-Cleared
SELIGMAN LASALLE REAL ESTATE FUND SERIES INC RIVERSOURCE LASALLE MONTHLY DIVIDEND REAL ESTATE FUND CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593386-03	Pending-Cleared
SELIGMAN LASALLE REAL ESTATE FUND SERIES INC RIVERSOURCE LASALLE MONTHLY DIVIDEND REAL ESTATE FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593388-03	Pending-Cleared

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SELIGMAN LASALLE REAL ESTATE FUND SERIES INC RIVERSOURCE LASALLE GLOBAL REAL ESTATE FUND CLASS R3	MINNEAPOLIS, MN	9/23/2010	00593411-03	Pending-Cleared
SELIGMAN LASALLE REAL ESTATE FUND SERIES INC RIVERSOURCE LASALLE MONTHLY DIVIDEND REAL ESTATE FUND CLASS R3	MINNEAPOLIS, MN	9/23/2010	00593399-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT LARGE CAP VALUE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593354-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT LARGE CAP VALUE FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593350-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT LARGE CAP VALUE FUND CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593348-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT LARGE CAP VALUE FUND CLASS W	MINNEAPOLIS, MN	9/23/2010	00593352-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT SMALLER CAP VALUE FUND CLASS Z	MINNEAPOLIS, MN	9/23/2010	00593360-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT SMALLER CAP VALUE FUND CLASS R4	MINNEAPOLIS, MN	9/23/2010	00593356-03	Pending-Cleared
SELIGMAN VALUE FUND SERIES INC COLUMBIA SELECT SMALLER CAP VALUE FUND CLASS R5	MINNEAPOLIS, MN	9/23/2010	00593358-03	Pending-Cleared
FT 2576 PHARMACEUTICAL SELECT PORTFOLIO SERIES 35	WHEATON, IL	9/22/2010	00592292-05	Pending-Cleared
FT 2621 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 17	WHEATON, IL	9/22/2010	00592293-05	Pending-Cleared
BUILD AMERICA BOND PORTFOLIO SEIRES 17 AN SMC FIM PORTFOLIO	MONUMENT, CO	9/21/2010	00592285-05	Pending-Cleared

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CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 705 CLAYMORE GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 5	LISLE, IL	9/21/2010	00592284-05	Pending-Cleared
NASDAQ Q 50 INDEX PORTFOLIO SERIES 3	MONUMENT, CO	9/21/2010	00592286-05	Pending-Cleared
1ST TR COMBINED SERIES 330 EX EX MUNICIPAL INCOME TR SERIES 259	WHEATON, IL	9/20/2010	00592258-05	Pending-Cleared
BUILD AMERICA BOND LTD MATURITY PORTFOLIO SERIES 6 AN AMC FIM PORTFOLIO	MONUMENT, CO	9/20/2010	00592255-05	Pending-Cleared
CLAYMORE SECURITIES DEFIINED PORTFOLIO SERIES 716 DIVERSIFIED DIVIDEND & INCOME PORTFOLIO SERIES 12	LISLE, IL	9/20/2010	00592251-05	Pending-Cleared
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE OPTION ABSOLUTE RETURN STRATEGY FUND CLASS C SHARES	BOSTON, MA	9/20/2010	00593256-03	Registered
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE OPTION ABSOLUTE RETURN STRATEGY FUND CLASS I SHARES	BOSTON, MA	9/20/2010	00593257-03	Registered
EATON VANCE SPECIAL INVESTMENT TR EATON VANCE OPTION ABSOLUTE RETURN STRATEGY FUND CLASS A SHARES	BOSTON, MA	9/20/2010	00593255-03	Registered
FT 2623 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 25	WHEATON, IL	9/20/2010	00592257-05	Pending-Cleared
HIGH 50 DIVIDEND STRATEGY PORTFOLIO SERIES 30	MONUMENT, CO	9/20/2010	00592254-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR GAVEKAL PLATFORM CO FUND ADVISOR CLASS	MILWAUKEE, WI	9/20/2010	00592270-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR GAVEKAL PLATFORM CO FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	9/20/2010	00592271-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
NAVELLIER TRADEWINDS EMERGING MARKETS EQUITY PORTFOLIO SERIES 1	MONUMENT, CO	9/20/2010	00592253-05	Pending-Cleared
TX EX MUNICIPAL PORTFOLIO INTERMEDIATE SERIES 18 AN AMC FIM PORTOLIO	MONUMENT, CO	9/20/2010	00592256-05	Pending-Cleared
TX EX MUNICIPAL PORTFOLIOS SERIES 4 INSURED AN SMC FIM PORTFOLIO	LISLE, IL	9/20/2010	00592252-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1036 DIVIDEND INCOME & VALUE PORTFOLIO 2010 4	OAKBROOK, IL	9/20/2010	00592262-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1038 PRECIOUS METALS & MINING PORTFOLIO 2010 4	OAKBROOK, IL	9/20/2010	00592261-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1040 ECONOMIC EXPANSION PORTFOLIO SERIES 2	OAKBROOK, IL	9/20/2010	00592260-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1041 ARGUS TURNAROUND STRATEGY PORTFOLIO 2010A	OAKBROOK, IL	9/20/2010	00592259-05	Pending-Cleared
FT 2595 INTERNATIONAL HIGH DIVIDEND EQUITY PORTFOLIOS SERIES 2	WHEATON, IL	9/17/2010	00591331-05	Pending-Cleared
FT 2622 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 20	WHEATON, IL	9/17/2010	00591330-05	Pending-Cleared
FT 2624 MULTI SECTOR INCOME PORTFOLIO SERIES	WHEATON, IL	9/17/2010	00591328-05	Pending-Cleared
FT 2630 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 3	WHEATON, IL	9/17/2010	00591329-05	Pending-Cleared
PREFERRED INCOME OPPORTUNITIES PORTFOLIO 2 YR SERIES 8	MONUMENT, CO	9/17/2010	00591327-05	Pending-Cleared
PRINCIPAL FUNDS INC DIVERSIFIED INTERNATIONAL FUND CLASS P	DES MOINES, IA	9/17/2010	00591738-03	Pending-Cleared
PRINCIPAL FUNDS INC DIVERSIFIED REAL ASSET FUND CLASS P	DES MOINES, IA	9/17/2010	00591739-03	Pending-Cleared
PRINCIPAL FUNDS INC EQUITY INCOME FUND CLASS P	DES MOINES, IA	9/17/2010	00591740-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL DIVERSIFIED INCOME FUND CLASS P	DES MOINES, IA	9/17/2010	00591741-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
PRINCIPAL FUNDS INC GOVERNMENT & HIGH QUALITY BOND FUND CLASS P	DES MOINES, IA	9/17/2010	00591742-03	Pending-Cleared
PRINCIPAL FUNDS INC HIGH YIELD FUND CLASS P	DES MOINES, IA	9/17/2010	00591743-03	Pending-Cleared
PRINCIPAL FUNDS INC INCOME FUND CLASS P	DES MOINES, IA	9/17/2010	00591744-03	Pending-Cleared
PRINCIPAL FUNDS INC INTERNATIONAL EMERGING MARKETS FUND CLASS P	DES MOINES, IA	9/17/2010	00591745-03	Pending-Cleared
PRINCIPAL FUNDS INC LARGE CAP GROWTH FUND CLASS P	DES MOINES, IA	9/17/2010	00591746-03	Pending-Cleared
PRINCIPAL FUNDS INC MIDCAP BLEND FUND CLASS P	DES MOINES, IA	9/17/2010	00591747-03	Pending-Cleared
PRINCIPAL FUNDS INC PREFERRED SECURITIES FUND CLASS P	DES MOINES, IA	9/17/2010	00591748-03	Pending-Cleared
PRINCIPAL FUNDS INC PRINCIPAL CAPITAL APPRECIATION FUND CLASS P	DES MOINES, IA	9/17/2010	00591749-03	Pending-Cleared
PRINCIPAL FUNDS INC REAL ESTATE SECURITIES FUND CLASS P	DES MOINES, IA	9/17/2010	00591750-03	Pending-Cleared
PRINCIPAL FUNDS INC SHORT TERM INCOME FUND CLASS P	DES MOINES, IA	9/17/2010	00591751-03	Pending-Cleared
USAA MUTUAL FUNDS TR REAL RETURN FUND	SAN ANTONIO, TX	9/17/2010	00591333-03	Pending-Cleared
USAA MUTUAL FUNDS TR ULTRA SHORT TERM BOND FUND	SAN ANTONIO, TX	9/17/2010	00591332-03	Pending-Cleared
AMERICAN INDEPENDENCE FUNDS TR NESTEGG 2050 FUND INSTITUTIONAL CLASS	NEW YORK, NY	9/15/2010	00590894-03	Pending-Cleared
FUNDVANTAGE TR POLEN GROWTH FUND INSTITUTIONAL CLASS	WILMINGTON, DE	9/15/2010	00590900-03	Registered
ADVISORS CORPORATE TR NAVELLER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 24	MONUMENT, CO	9/14/2010	00590869-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 714 GUGGENHEIM GROWTH ASSET ALLOCATION PORTFOLIO OF ETFS SERIES 4	LISLE, IL	9/14/2010	00590872-05	Pending-Cleared
CLAYMORE SECURITIES DEFINED PORTFOLIOS SERIES 714 GUGGENHEIM MODERATE ASSET ALLOCATION PORTFOLIO OF ETFS SERIES 4	LISLE, IL	9/14/2010	00590871-05	Pending-Cleared
GLOBAL BASIC MATERIALS PORTFOLIO SERIES 13	MONUMENT, CO	9/14/2010	00590870-05	Pending-Cleared
GLOBAL GOLD INCOME PORTFOLIO SERIES 7 AN SMC PORTFOLIO	MONUMENT, CO	9/14/2010	00590868-05	Pending-Cleared
PIMCO FUNDS PIMCO HIGH YIELD SPECTRUM FUND CLASS A	NEWPORT BEACH, CA	9/14/2010	00590886-03	Registered
PIMCO FUNDS PIMCO HIGH YIELD SPECTRUM FUND CLASS C	NEWPORT BEACH, CA	9/14/2010	00590888-03	Registered
PIMCO FUNDS PIMCO HIGH YIELD SPECTRUM FUND CLASS D	NEWPORT BEACH, CA	9/14/2010	00590890-03	Registered
PIMCO FUNDS PIMCO HIGH YIELD SPECTRUM FUND CLASS P	NEWPORT BEACH, CA	9/14/2010	00590889-03	Registered
PIMCO FUNDS PIMCO HIGH YIELD SPECTRUM FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	9/14/2010	00590887-03	Registered
VAN KAMPEN UNIT TR MUNICIPALS SERIES 926 QUALITY MUNICIPALS INCOME TR 28TH LTD MATURITY SERIES	OAKBROOK, IL	9/14/2010	00590867-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPALS SERIES 927 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 14	OAKBROOK, IL	9/14/2010	00590866-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1034 CLOSED END STRATEGY MASTER INCOME PORTFOLIO SERIES 25	OAKBROOK, IL	9/14/2010	00590864-05	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 1034 CLOSED END STRATEGY MASTER MUNICIPAL INCOME PORTFOLIO NATIONAL SERIES 21	OAKBROOK, IL	9/14/2010	00590865-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1035 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 37	OAKBROOK, IL	9/14/2010	00590863-05	Pending-Cleared
ALLIANCEBERNSTEIN CORPORATE SHARES ALLIANCEBERNSTEIN TAXABLE MULTI SECTOR INCOME SHARES	NEW YORK, NY	9/13/2010	00590767-03	Registered
MFS SERIES TR 7 MFS ASIA PACIFIC EX JAPAN FUND CLASS A SHARES	BOSTON, MA	9/13/2010	00590760-03	Registered
MFS SERIES TR 7 MFS ASIA PACIFIC EX JAPAN FUND CLASS B SHARES	BOSTON, MA	9/13/2010	00590762-03	Registered
MFS SERIES TR 7 MFS ASIA PACIFIC EX JAPAN FUND CLASS C SHARES	BOSTON, MA	9/13/2010	00590764-03	Registered
MFS SERIES TR 7 MFS ASIA PACIFIC EX JAPAN FUND CLASS I SHARES	BOSTON, MA	9/13/2010	00590766-03	Registered
MFS SERIES TR 7 MFS EUROPEAN EQUITY FUND CLASS A SHARES	BOSTON, MA	9/13/2010	00590755-03	Registered
MFS SERIES TR 7 MFS EUROPEAN EQUITY FUND CLASS B SHARES	BOSTON, MA	9/13/2010	00590756-03	Registered
MFS SERIES TR 7 MFS EUROPEAN EQUITY FUND CLASS C SHARES	BOSTON, MA	9/13/2010	00590757-03	Registered
MFS SERIES TR 7 MFS EUROPEAN EQUITY FUND CLASS I SHARES	BOSTON, MA	9/13/2010	00590759-03	Registered
MFS SERIES TR 7 MFS LATIN AMERICAN EQUITY FUND CLASS A SHARES	BOSTON, MA	9/13/2010	00590763-03	Registered
MFS SERIES TR 7 MFS LATIN AMERICAN EQUITY FUND CLASS B SHARES	BOSTON, MA	9/13/2010	00590761-03	Registered
MFS SERIES TR 7 MFS LATIN AMERICAN EQUITY FUND CLASS C SHARES	BOSTON, MA	9/13/2010	00590765-03	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
MFS SERIES TR 7 MFS LATIN AMERICAN EQUITY FUND CLASS I SHARES	BOSTON, MA	9/13/2010	00590758-03	Registered
Number of Investment Company Filings: 194				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
HJSI PREFERRED FUNDING 2 LLC	SOUTHPORT, CT	9/24/2010	00593420-07	Filed
RREEF GLOBAL OPPORTUNITIES FUND 2 LLC	WILMINGTON, DE	9/24/2010	00593419-07	Filed
ARTIMAN VENTURES 3 LP	EAST PALO ALTO, CA	9/23/2010	00593262-07	Filed
CHINA AGRICORP INC	JIAOZUO HE'NAN,	9/23/2010	00593263-07	Filed
PENNECO DRILLING ASSOC 2010 1	DELMONT, PA	9/23/2010	00593264-07	Filed
RADIUS FINANCE LLC	STONEHAM, MA	9/22/2010	00592296-07	Filed
WEST JANCIE SALT WATER DISPOSAL 1 JOINT VENTURE	HURST, TX	9/22/2010	00592297-07	Filed
2010 PDP OFFSET DEVELOPMENT LP	BOWLING GREEN, KY	9/21/2010	00592267-07	Filed
TDR CAPITAL ALGECO SCOTSMAN LP	LONDON WIK 1AF,	9/21/2010	00592288-07	Filed
TIDAL PETROLEUM INC	SHERTZ, TX	9/21/2010	00592287-07	Filed
HARD ROCK PARTNERS 2010 A LP	CHARLES, WV	9/20/2010	00592273-07	Filed
LA POSADA 3 D PROSPECT LP	SOUTHLAKE, TX	9/20/2010	00592266-07	Filed
PLATINUM ENERGY PARTNERS 2007 C LP	GETZVILLE, NY	9/20/2010	00592265-07	Filed
ATEL GROWTH CAPITAL FUND 6 LLC	SAN FRANCISCO, CA	9/17/2010	00591335-07	Filed
TEXLARK EXPLORATION CO INC	PLANO, TX	9/17/2010	00591334-07	Filed
VISTEON CORP	VAN BUREN TOWNSHIP, MI	9/17/2010	00591336-07	Filed
ASGI AGILITY INCOME FUND	CHARLOTTE, NC	9/16/2010	00590939-07	Filed
EPINEX DIAGNOSTICS INC	TUSTIN, CA	9/16/2010	00590937-07	Filed
SE FT WAYNE LLC	CHICAGO, IL	9/16/2010	00590938-07	Filed
YANKEE METRO PARTNERS LLC	BOSTON, MA	9/15/2010	00590751-07	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
BETTER ATM SERVICES INC	MESA, AZ	9/14/2010	00590873-07	Filed
SAB EQUITY PARTNERSHIP 2 LP	SAN ANTONIO, TX	9/14/2010	00590875-07	Filed
SAB EQUITY PARTNERSHIP 3 LP	SAN ANTONIO, TX	9/14/2010	00590876-07	Filed
SAB EQUITY PARTNERSHIP LP	SAN ANTONIO, TX	9/14/2010	00590874-07	Filed
ALLIANCEBERSNTEIN CURRENCY ALPHA FUND LP	NEW YORK, NY	9/13/2010	00590747-07	Filed
COOL CITY ELECTRONICS INC	MINERAL WELLS, TX	9/13/2010	00590754-07	Filed
CRITERION CAPITAL PARTNERS LTD	HAMILTON HM EX,	9/13/2010	00590748-07	Filed
EDUCATION DEVELOPMENT BOARD LLC	ST LOUIS, MO	9/13/2010	00590749-07	Filed
REEF 2010 DRILLING FUND LP	RICHARDSON, TX	9/13/2010	00590752-07	Filed
TIGERSHARK FUND LP	NEW YORK, NY	9/13/2010	00590750-07	Filed
Number of Regulation D Notice Filings: 30				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ADVANCED FRESH CONCEPTS FRANCHISE CORP	RANCHO DOMINGUEZ, CA	9/21/2010	601399	Registered
BUNDY AMERICAN LLC	OWINGS MILLS, MD	9/21/2010	601400	Registered
TAF Mid-America Enterprises	Northbrook, IL	9/20/2010	601393	Registered
FRONTIER ADJUSTERS INC	PHOENIX, AZ	9/20/2010	601394	Registered
OnSight Solutions International, LLC	Albany, NY	9/16/2010	601388	Registered
SETTLE INN LLC	ABERDEEN, SD	9/16/2010	601386	Registered
Luby's Fuddruckers Restaurants, LLC / Fuddruckers	Houston, TX	9/14/2010	601387	Registered
Tailored Living, LLC / Standard	Orange, CA	9/14/2010	601389	Registered
Wings-Pizza-N-Things of America, Inc. / Wings-Pizza-N-Things	Dallas, TX	9/13/2010	601382	Registered
DICKEYS BARBECUE RESTAURANTS INC	DALLAS, TX	9/13/2010	601381	Registered
Number of Franchise Filings: 10				

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