

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/8/2010 through 11/19/2010**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CRYOPORT INC	LAKE FOREST, CA	11/17/2010	00597739-01	Pending
PIKES PEAK CHRISTIAN CHURCH	COLORADO SPRINGS, CO	11/17/2010	00597744-02	Pending
AMERICAN REALTY CAPITAL TR 3 INC	NEW YORK, NY	11/12/2010	00597493-01	Pending
WOODMEN VALLEY CHAPEL	COLORADO SPRINGS, CO	11/9/2010	00597329-02	Pending
Number of Registration Filings: 4				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
NEPHROS INC	REIVER EDGE, NJ	11/18/2010	00597842-08	Pending
PUBLIC FINANCE AUTHORITY ADAMS COLUMBIA ELECTRIC COOPERATIVE	, WI	11/15/2010	00597555-08	Pending
PUBLIC FINANCE AUTHORITY CENTRAL WI ELECTRIC COOPERATIVE	, WI	11/15/2010	00597554-08	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 340 BUILD AMERICA BONDS PORTFOLIO SERIES 22	WHEATON, IL	11/19/2010	00597852-05	Pending-Cleared
AMERICAN ISRAELI SHARED VALUES TR AMSV CAPITAL APPRECIATION FUND	NEW YORK, NY	11/19/2010	00597844-03	Pending-Cleared
FT 2649 INCOME ALLOCATION CLOSED END DEC 10	WHEATON, IL	11/19/2010	00597856-05	Pending-Cleared
FT 2650 DOW TARGET 10 DEC 10 TERM 12 30 11	WHEATON, IL	11/19/2010	00597858-05	Pending-Cleared
FT 2650 DOW TARGET DVD DEC 10 TERM 2 29 12	WHEATON, IL	11/19/2010	00597859-05	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
FT 2650 TARGET FOCUS 4 DEC 10 TERM 2 29 12	WHEATON, IL	11/19/2010	00597861-05	Pending-Cleared
FT 2650 TARGET TRIAD DEC 10 TERM 2 29 12	WHEATON, IL	11/19/2010	00597862-05	Pending-Cleared
FT 2650 TARGET VIP DEC 10 TERM 2 29 12	WHEATON, IL	11/19/2010	00597860-05	Pending-Cleared
FT 2689 GLOBAL AGRICULTURE PORTFOLIO SERIES 15	WHEATON, IL	11/19/2010	00597854-05	Pending-Cleared
FT 2692 GLOBAL HARD ASSET PORTFOLIO SERIES 6	WHEATON, IL	11/19/2010	00597857-05	Pending-Cleared
FT 2707 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	11/19/2010	00597855-05	Pending-Cleared
FT 2708 INTEREST RATE HEDGE PORTFOLIO SERIES 20	WHEATON, IL	11/19/2010	00597853-05	Pending-Cleared
VANGUARD INDEX FUNDS VANGUARD MARKET INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597846-03	Pending-Cleared
VANGUARD INDEX FUNDS VANGUARD MID CAP INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597845-03	Pending-Cleared
VANGUARD INDEX FUNDS VANGUARD SMALL CAP INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597847-03	Pending-Cleared
VANGUARD INTERNATIONAL EQUITY INDEX FUNDS VANGUARD EMERGING MARKETS STOCK INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597851-03	Pending-Cleared
VANGUARD INTERNATIONAL EQUITY INDEX FUNDS VANGUARD EUROPEAN STOCK INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597848-03	Pending-Cleared
VANGUARD INTERNATIONAL EQUITY INDEX FUNDS VANGUARD FTSE ALL WORLD EX US INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597850-03	Pending-Cleared

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VANGUARD INTERNATIONAL EQUITY INDEX FUNDS VANGUARD PACIFIC STOCK INDEX FUND INSTITUTIONAL PLUS SHARES	VALLEY FORGE, PA	11/19/2010	00597849-03	Pending-Cleared
VIKING MUTUAL FUNDS VIKING TAX FREE FUND FOR ND	MINOT, ND	11/18/2010	00597840-03	Pending-Cleared
PIMCO FUNDS PIMCO CONVERTIBLE FUND CLASS P SHARES	NEWPORT BEACH, CA	11/17/2010	00597833-03	Registered
PIMCO FUNDS PIMCO FUNDAMENTAL INDEXPLUS FUND CLASS P SHARES	NEWPORT BEACH, CA	11/17/2010	00597832-03	Registered
PIMCO FUNDS PIMCO GLOBAL BOND FUND UNHEDGED CLASS P	NEWPORT BEACH, CA	11/17/2010	00597829-03	Registered
PIMCO FUNDS PIMCO LOW DURATION FUND 3 CLASS P	NEWPORT BEACH, CA	11/17/2010	00597830-03	Registered
PIMCO FUNDS PIMCO REAL RETURN ASSET FUND CLASS P	NEWPORT BEACH, CA	11/17/2010	00597831-03	Registered
1ST TR COMBINED SERIES 338 BUILD AMERICA BONDS PORTFOLIO 10 20 YEAR SERIES 12	WHEATON, IL	11/16/2010	00597692-05	Pending-Cleared
ADVISORS SERIES TR POPLAR FOREST PARTNERS FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/16/2010	00597694-03	Pending-Cleared
FRANKLIN TEMPLETON INTERNATIONAL FUND FRANKLIN WORLD PERSPECTIVES FUND CLASS ADVISOR	SAN MATEO, CA	11/16/2010	00597753-03	Pending-Cleared
FRANKLIN TEMPLETON INTERNATIONAL FUND FRANKLIN WORLD PERSPECTIVES FUND CLASS A	SAN MATEO, CA	11/16/2010	00597755-03	Pending-Cleared
FRANKLIN TEMPLETON INTERNATIONAL FUND FRANKLIN WORLD PERSPECTIVES FUND CLASS R	SAN MATEO, CA	11/16/2010	00597754-03	Pending-Cleared
FRANKLIN TEMPLETON INTERNATIONAL FUND FTIF CLASS C	SAN MATEO, CA	11/16/2010	00597756-03	Pending-Cleared

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FT 2393 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 4	WHEATON, IL	11/16/2010	00597689-05	Pending-Cleared
FT 2656 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/16/2010	00597687-05	Pending-Cleared
FT 2660 DIVIDEND STRENGTH PORTFOLIO SERIES 8	WHEATON, IL	11/16/2010	00597691-05	Pending-Cleared
FT 2681 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 3	WHEATON, IL	11/16/2010	00597688-05	Pending-Cleared
FT 2685 DIVIDEND & INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/16/2010	00597690-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 729 GUGGENHEIM BUILD AMERICA BONDS TR SERIES 6	LISLE, IL	11/16/2010	00597693-05	Pending-Cleared
OPPENHEIMER AMT FREE MUNICIPALS CLASS Y	DENVER, CO	11/16/2010	00597679-03	Pending-Cleared
OPPENHEIMER MULTI STATE MUNICIPAL TR OPPENHEIMER ROCHESTER NATIONAL MUNICIPALS CLASS Y	DENVER, CO	11/16/2010	00597680-03	Pending-Cleared
OPPENHEIMER ROCHESTER INTERMEDIATE TERM MUNICIPAL FUND CLASS A	DENVER, CO	11/16/2010	00597683-03	Pending-Cleared
OPPENHEIMER ROCHESTER INTERMEDIATE TERM MUNICIPAL FUND CLASS Y	DENVER, CO	11/16/2010	00597681-03	Pending-Cleared
OPPENHEIMER ROCHESTER INTERMEDIATE TERM MUNICIPAL FUND CLASS C	DENVER, CO	11/16/2010	00597682-03	Pending-Cleared
OPPENHEIMER ROCHESTER SHORT TERM MUNICIPAL FUND CLASS A	DENVER, CO	11/16/2010	00597686-05	Pending-Cleared
OPPENHEIMER ROCHESTER SHORT TERM MUNICIPAL FUND CLASS C	DENVER, CO	11/16/2010	00597685-03	Pending-Cleared
OPPENHEIMER ROCHESTER SHORT TERM MUNICIPAL FUND CLASS Y	DENVER, CO	11/16/2010	00597684-05	Pending-Cleared
1ST TR COMBINED SERIES 337 BUILD AMERICA BONDS PORTFOLIO SERIES 21	WHEATON, IL	11/15/2010	00597542-05	Pending-Cleared

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1ST TR COMBINED SERIES 339 TX EX MUNICIPAL INCOME TR SERIES 261	WHEATON, IL	11/15/2010	00597539-05	Pending-Cleared
FT 2713 GLOBAL BOND INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/15/2010	00597540-05	Pending-Cleared
FT 2728 REAL ESTATE CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/15/2010	00597541-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 743 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 11	LISLE, IL	11/15/2010	00597538-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1052 CONSERVATIVE INCOME ALLOCATION PORTFOLIO SERIES 6	OAKBROOK, IL	11/15/2010	00597553-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1053 DOW JONES TOTAL MARKET PORTFOLIO ENHANCED INDEX STRATEGY 2011 1	OAKBROOK, IL	11/15/2010	00597551-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1053 ENHANCED SECTOR STRATEGY SECTOR ROTATION PORTFOLIO 2011 1	OAKBROOK, IL	11/15/2010	00597552-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1054 ETF ALLOCATION PORTFOLIO SERIES 5	OAKBROOK, IL	11/15/2010	00597550-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1054 ETF DIVERSIFIED GROWTH PORTFOLIO SERIES 3	OAKBROOK, IL	11/15/2010	00597548-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1054 ETF DIVERSIFIED INCOME PORTFOLIO SERIES 3	OAKBROOK, IL	11/15/2010	00597549-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1055 BRIC OPPORTUNITY PORTFOLIO 2011 1	OAKBROOK, IL	11/15/2010	00597547-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1055 GLOBAL ALTERNATIVE ENERGY PORTFOLIO 2011 1	OAKBROOK, IL	11/15/2010	00597546-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1056 TECHNOLOGY PORTFOLIO 2011 1	OAKBROOK, IL	11/15/2010	00597545-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
VAN KAMPEN UNIT TR SERIES 1057 GREAT INTERNATIONAL FRANCHISE PORTFOLIO SERIES 42	OAKBROOK, IL	11/15/2010	00597544-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1057 US MULTINATIONAL 50 PORTFOLIO SERIES 34	OAKBROOK, IL	11/15/2010	00597543-05	Pending-Cleared
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 26	MONUMENT, CO	11/12/2010	00597497-05	Pending-Cleared
FT 2654 CONVERTIBLE & INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/12/2010	00597500-05	Pending-Cleared
FT 2655 EQUITY OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/12/2010	00597506-05	Pending-Cleared
FT 2659 ETF GROWTH & INCOME DEC 10	WHEATON, IL	11/12/2010	00597503-05	Pending-Cleared
FT 2683 INVESTMENT GRADE SELECT CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	11/12/2010	00597501-05	Pending-Cleared
FT 2714 HIGH YIELD INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/12/2010	00597502-05	Pending-Cleared
FT 2722 PREFERRED INCOME PORTFOLIO SERIES 40	WHEATON, IL	11/12/2010	00597505-05	Pending-Cleared
FT 2724 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	11/12/2010	00597504-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 734 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 6	LISLE, IL	11/12/2010	00597498-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 744 GLOBAL WATER EQUITIES PORTFOLIO SERIES 19	LISLE, IL	11/12/2010	00597499-05	Pending-Cleared
INTERNATIONAL HIGH 30 DIVIDEND PORTFOLIO SERIES 24	MONUMENT, CO	11/12/2010	00597496-05	Pending-Cleared
STRATEGIC FOUNDATIONS OF GROWTH PORTFOLIO SERIES 2010 1	MONUMENT, CO	11/12/2010	00597494-05	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
TACTICAL INCOME CLOSED END PORTFOLIO SERIES 13	MONUMENT, CO	11/12/2010	00597495-05	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA WMC QUALITY VALUE CLASS A SHARES	ST. PETERSBURG, FL	11/12/2010	00597533-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA WMC QUALITY VALUE CLASS C SHARES	ST. PETERSBURG, FL	11/12/2010	00597534-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA WMC QUALITY VALUE CLASS I SHARES	ST. PETERSBURG, FL	11/12/2010	00597535-03	Registered
FORUM FUNDS DIVIDEND PLUS INCOME FUND INVESTOR CLASS	PORTLAND, ME	11/11/2010	00597481-03	Registered
LEGG MASON GLOBAL TR INC LEGG MASON BATTERYMARCH EMERGING MARKETS TR CLASS R	BALTIMORE, MD	11/11/2010	00597474-03	Registered
TCW FUNDS INC TCW GROWTH FUND CLASS I	LOS ANGELES, CA	11/11/2010	00597479-03	Registered
TCW FUNDS INC TCW GROWTH FUND CLASS N	LOS ANGELES, CA	11/11/2010	00597480-03	Registered
ENTREPRENEURSHARES SERIES TR ENTRPRENEUMSHARES GLOBAL FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/10/2010	00597425-03	Pending-Cleared
ENTREPRENEURSHARES SERIES TR ENTRPRENEUMSHARES GLOBAL FUND CLASS A	MILWAUKEE, WI	11/10/2010	00597426-03	Pending-Cleared
ENTREPRENEURSHARES SERIES TR ENTRPRENEUMSHARES GLOBAL FUND RETAIL CLASS	MILWAUKEE, WI	11/10/2010	00597424-03	Pending-Cleared
FT 2646 ALTERNATIVE ENERGY PORTFOLIO SERIES 16	WHEATON, IL	11/9/2010	00597324-05	Pending-Cleared
FT 2647 BICK PORTFOLIO SERIES 4	WHEATON, IL	11/9/2010	00597325-05	Pending-Cleared
FT 2648 DFENSIVE EQUITY PORTFLIO SERIES 13	WHEATON, IL	11/9/2010	00597326-05	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
FT 2704 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	11/9/2010	00597328-05	Pending-Cleared
FT 2706 INTEREST RATE HEDGE PORTFOLIO SERIES 19	WHEATON, IL	11/9/2010	00597327-05	Pending-Cleared
FUNDVANTAGE TR FORMULA INVESTING US VALUE 1000 FUND CLASS A	WILMINGTON, DE	11/9/2010	00597420-03	Registered
FUNDVANTAGE TR FORMULA INVESTING US VALUE SELECT FUND CLASS A	WILMINGTON, DE	11/9/2010	00597421-03	Registered
FT 2667 AUTOMATED QUANTITATIVE ANALYSIS PORTFOLIO SERIES 2	WHEATON, IL	11/8/2010	00596769-05	Pending-Cleared
GUGGENHEIM DEFEINED PORTFOLIO SERIES 742 CLOSED END INFRASTRUCTURE & MLP PORTFOLIO SERIES 9	LISLE, IL	11/8/2010	00596766-05	Pending-Cleared
GUGGENHEIM DEFEINED PORTFOLIO SERIES 742 CLOSED END COVERED CALL & INCOME PORTFOLIO SERIES 20	LISLE, IL	11/8/2010	00596767-05	Pending-Cleared
GUGGENHEIM DEFEINED PORTFOLIO SERIES 742 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 17	LISLE, IL	11/8/2010	00596768-05	Pending-Cleared
Number of Investment Company Filings: 95				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CARNEGIE SPEECH CO INC	PITTSBURGH, PA	11/19/2010	00597864-07	Filed
CONESTOGA SETTLEMENT TR	WILMINGTON, DE	11/19/2010	00597863-07	Filed
MINERVA BIOTECHNOLOGIES CORP	WALTHAM, MA	11/18/2010	00597841-07	Filed
PROXIM DIAGNOSTICS CORP	SUNNYVALE, CA	11/17/2010	00597743-07	Filed
SAB EQUITY PARTNERSHIP 3 LP	SAN ANTONIO, TX	11/17/2010	00597740-07	Filed
SAB EQUITY PARTNERSHIP LP	SAN ANTONIO, TX	11/17/2010	00597741-07	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
SAB VALUE OPPORTUNITIES FUND LP	SAN ANTONIO, TX	11/17/2010	00597742-07	Filed
CONATAS CAPITAL OVERSEAS LTD	GRAND CAYMAN KY1-1111,	11/16/2010	00597697-07	Filed
LAZARD EMERGING INCOME LTD	HAMITON,	11/16/2010	00597696-07	Filed
SAFETEC COMPLIANCE SYSTEMS INC	VANCOUVER, WA	11/16/2010	00597695-07	Filed
REPUBLIC RESOURCES LLC	SAN ANTONIO, TX	11/15/2010	00597556-07	Filed
SEER CAPITAL PARTNERS FUND LP	GRAND CAYMAN KY1-9005,	11/12/2010	00597507-07	Filed
VOM CAPITAL PARTNERS LP	FORT WORTH, TX	11/12/2010	00597512-07	Filed
2323 NORTH MILWAUKEE LLC	CHICAGO, IL	11/11/2010	00597438-07	Filed
LINUX GOLD CORP	RICHMOND BC V7A 5E9,	11/11/2010	00597437-07	Filed
SAB EQUITY PARTNERSHIP 3 LP	SAN ANTONIO, TX	11/11/2010	00597439-07	Filed
ADVANCED PROTEOME THERAPUETICS CORP	BOSTON, MA	11/10/2010	00597428-07	Filed
MARQUETTE CAPITAL FUND 2 LP	MINNEAPOLIS, MN	11/9/2010	00597330-07	Filed
BIG NIGHT VENTUES BOSTON 1 LLC	BOSTON, MA	11/8/2010	00596771-07	Filed
BIRRBIT INC	KENTFIELD, CA	11/8/2010	00596772-07	Filed
Number of Regulation D Notice Filings: 20				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
RADIOSHACK CORPORATION / RadioShack	FORT WORTH, TX	11/19/2010	601585	Registered
INFINIUM REALTY GROUP INC	SARASTOA, FL	11/16/2010	601584	Registered
RUBY TUESDAY INC / Franchise partnership Program	MARYVILLE, TN	11/15/2010	601580	Registered
World of Beer Franchising, Inc. / World of Beer	Tampa, FL	11/13/2010	601578	Registered
ITEX CORP	BELLEVUE, WA	11/12/2010	601566	Registered
MOSSY OAK PROPERTIES INC	WEST POINT, MS	11/12/2010	601567	Registered
Anago Franchising, Inc.	Pompano Beach, FL	11/11/2010	601563	Registered

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Franchise Law Filings Made with DFI's Securities Division				
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RUBY TUESDAY INC	MARYVILLE, TN	11/11/2010	601564	Registered
Aspen Leaf Yogurt, LLC / Rocky Mountain Chocolate Factory	Durango, CO	11/10/2010	601554	Registered
BB FRANCHISING LLC / Brain Balance Centers	Jersey City, NJ	11/9/2010	601553	Registered
Blue-Grace Franchise, LLC / Blue-Grace Logistics	Riverview, FL	11/8/2010	601549	Registered
Number of Franchise Filings: 11				

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