

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/15/2010 through 11/26/2010**

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
Number of Registration Filings: 2				

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	Not Disallowed
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
INVESTMENT MANAGERS SERIES TR EP ASIA SMALL CO FUND CLASS A	MILWAUKEE, WI	11/24/2010	00598015-03	Pending-Cleared
CALVERT IMPACT FUND INC CALVERT SMALL CAP FUND CLASS B	BETHESDA, MD	11/23/2010	00597982-03	Pending-Cleared
ADVISORS CORPORATE TR CUTWATER INCOME OPPORTUNITIES PORTFOLIO SERIES 6	MONUMENT, CO	11/22/2010	00597908-05	Pending-Cleared
AQUILLA 3 PEAKS OPPORTUNITY GROWTH FUND CLASS C	NEW YORK, NY	11/22/2010	00597903-03	Pending-Cleared
AQUILLA 3 PEAKS OPPORTUNITY GROWTH FUND CLASS I	NEW YORK, NY	11/22/2010	00597904-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
AQUILLA 3 PEAKS OPPORTUNITY GROWTH FUND CLASS Y	NEW YORK, NY	11/22/2010	00597905-03	Pending-Cleared
BUILD AMERICA BOND LTF MATURITY PORTFOLIO SERIES 7 AN SMC FIM PORTFOLIO	MONUMENT, CO	11/22/2010	00597907-05	Pending-Cleared
CATAKYST FUNDS COMPASS EMP MULTI ASSET GROWTH FUND CLASS C	WILLOWGROVE, PA	11/22/2010	00597902-03	Pending-Cleared
FT 2661 GLOBAL DIVIDEND PORTFOLIO SERIES 23	WHEATON, IL	11/22/2010	00597916-05	Pending-Cleared
FT 2662 MEGA CAP PORTFOLIO SERIES 17	WHEATON, IL	11/22/2010	00597917-05	Pending-Cleared
FT 2663 INSURED MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/22/2010	00597914-05	Pending-Cleared
FT 2684 GREATER CHINA PORTFOLIO SERIES 24	WHEATON, IL	11/22/2010	00597918-05	Pending-Cleared
FT 2686 GLOBAL EQUITY INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 2	WHEATON, IL	11/22/2010	00597921-05	Pending-Cleared
FT 2687 COVERED CALL OPPORTUNITIES CLOSED END PORTFOLIO SERIES 3	WHEATON, IL	11/22/2010	00597919-05	Pending-Cleared
FT 2688 EQUITY INCOME PORTFOLIO SERIES 28	WHEATON, IL	11/22/2010	00597911-05	Pending-Cleared
FT 2691 GLOBAL COMMODITIES PORTFOLIO SERIES 14	WHEATON, IL	11/22/2010	00597920-05	Pending-Cleared
FT 2693 NATURAL GAS PORTFOLIO SERIES 8	WHEATON, IL	11/22/2010	00597913-05	Pending-Cleared
FT 2694 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 7	WHEATON, IL	11/22/2010	00597909-05	Pending-Cleared
FT 2709 SIM 60 40 DYNAMIC ALLOCATION PORTOFOLIO DEC 10 SERIES	WHEATON, IL	11/22/2010	00597910-05	Pending-Cleared
FT 2725 GLOBAL EQUITY INCOME CLOSED END PORTFOLIO SERIES 14	WHEATON, IL	11/22/2010	00597912-05	Pending-Cleared
FT 2731 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 37	WHEATON, IL	11/22/2010	00597915-05	Pending-Cleared

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NORTHERN LIGHTS FUND TR ALTEGRIS MANAGED FUTURES STRATEGY FUND CLASS A	HAUPPAUGE, NY	11/22/2010	00597901-03	Pending-Cleared
NORTHERN LIGHTS FUND TR WINANS GOLD STRATEGY FUND	HAUPPAUGE, NY	11/22/2010	00597900-03	Pending-Cleared
TX EX MUNICIPAL PORTFOLIO INTERMEDIATE SERIES 20 AN SMC FIM PORTFOLIO	MONUMENT, CO	11/22/2010	00597906-03	Pending-Cleared
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
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

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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
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

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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
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 R	SAN MATEO, CA	11/16/2010	00597754-03	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 FTIF CLASS C	SAN MATEO, CA	11/16/2010	00597756-03	Pending-Cleared
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

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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 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 INTERMEDIATE TERM MUNICIPAL FUND CLASS A	DENVER, CO	11/16/2010	00597683-03	Pending-Cleared
OPPENHEIMER ROCHESTER SHORT TERM MUNICIPAL FUND CLASS A	DENVER, CO	11/16/2010	00597686-03	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
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

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Firm Name	Location	Date Received	File Number	Status
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
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
Number of Investment Company Filings: 85				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ASCHERE ENERGY LLC	DALLAS, TX	11/24/2010	00598017-07	Filed
MIDWEST RESOURCES 2010 1 OIL & GAS INCOME LP	BROOKFIELD, WI	11/24/2010	00598016-07	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
COOL RIVER VENTURES LLC	SUCCASUNNA, NJ	11/23/2010	00597983-07	Filed
EURASIAN MINERALS INC	VANCOUVER BC V6C 3P1,	11/23/2010	00597985-07	Filed
FSP MONUMENT CIRCLE CORP	WAKEFIELD, MA	11/23/2010	00597986-07	Filed
GENAUDIO INC	CENTENNIAL, CO	11/23/2010	00597984-07	Filed
CH ROYAL OAK LLC	LAKE ANGELUS, MI	11/22/2010	00597923-07	Filed
GCOMMERCE INC	DES MOINES, IA	11/22/2010	00597924-07	Filed
MORGAN STANLEY HEDGEPREMIER DOUBLE BLACK DIAMOND FUND LP	NEW YORK, NY	11/22/2010	00597922-07	Filed
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
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
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
GolfTEC Franchising LP	Centennial, CO	11/24/2010	601592	Registered
JAMBA JUICE CO	EMRYVILLE, CA	11/22/2010	601591	Registered
RADIOSHACK CORPORATION / RadioShack	FORT WORTH, TX	11/19/2010	601585	Registered

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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	11/19/2010	601586	Registered
INFINIUM REALTY GROUP INC	SARASTOA, FL	11/16/2010	601584	Registered
Hunker Down Roof Anchoring Systems, Inc.	Miami, FL	11/16/2010	601587	Registered
SNS Franchise, Inc.	Franklin, TN	11/16/2010	601588	Registered
RUBY TUESDAY INC / Franchise partnership Program	MARYVILLE, TN	11/15/2010	601580	Registered
Number of Franchise Filings: 8				

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