

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/29/2010 through 12/10/2010**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
LADENBURG THALMAN ALTERNATIVE STRATEGIES FUND	HAUPPAUGE, NY	12/8/2010	00598684-01	Pending
LONE OAK AQUISITION CORP	WANCHAI HONG KONG,	12/6/2010	00598643-01	Pending
LAKE HILLS CHURCH	AUSTIN, TX	12/3/2010	00598621-02	Pending
GROSVENOR REGISTERED MULTI STRATEGY MASTER FUND LLC GRMS FUND TI 2 LLC	BOSTON, MA	11/30/2010	00598730-01	Registered
NORTHSTAR SENIOR CARE TR INC	NEW YORK, NY	11/30/2010	00598337-01	Pending
GOTTEX MULTI ALTERNATIVES FUND 1	BOSTON, MA	11/29/2010	00598044-01	Pending-Cleared
GOTTEX MULTI ALTERNATIVES FUND 2	BOSTON, MA	11/29/2010	00598045-01	Pending
GOTTEX MULTI ASSET ENDOWMENT FUND 1	BOSTON, MA	11/29/2010	00598042-01	Pending
GOTTEX MULTI ASSET ENDOWMENT FUND 2	BOSTON, MA	11/29/2010	00598043-01	Pending
Number of Registration Filings: 9				

<b>Securities Law Exemption Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Number of Exemption Filings: 0				

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
1ST TR COMBINED SERIES 343 TX EX MUNICIPAL INCOME TR SERIES 262	WHEATON, IL	12/9/2010	00598758-05	Pending-Cleared
FT 2698 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 4	WHEATON, IL	12/9/2010	00598761-05	Pending-Cleared
FT 2699 MULTI SECTOR INCOME PORTFOLIO SERIES 2	WHEATON, IL	12/9/2010	00598760-05	Pending-Cleared

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FT 2742 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 29	WHEATON, IL	12/9/2010	00598759-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 751 GUGGENHEIM GROWTH ASSET ALLOCATION PORTFOLIO OF ETFS SERIES 5	LISLE, IL	12/9/2010	00598755-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 751 GUGGENHEIM MODERATE ASSET ALLOCATION PORTFOLIO OF ETFS SERIES 5	LISLE, IL	12/9/2010	00598756-05	Pending-Cleared
MARSICO INVESTMENT FUND MARSICO EMERGING MARKETS FUND	DENVER, CO	12/9/2010	00598754-03	Pending-Cleared
PERONI GROWTH PORTFOLIO WINTER 2011 SERIES	MONUMENT, CO	12/9/2010	00598757-05	Pending-Cleared
MARSHALL FUNDS INC MARSHALL INTERMEDIATE TAX FREE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	12/8/2010	00598683-03	Pending-Cleared
NATIXIS FUNDS TR I NATIXIS OAKMARK GLOBAL FUND CLASS A	BOSTON, MA	12/8/2010	00598692-03	Pending-Cleared
NATIXIS FUNDS TR I NATIXIS OAKMARK GLOBAL FUND CLASS C	BOSTON, MA	12/8/2010	00598694-03	Pending-Cleared
NATIXIS FUNDS TR I NATIXIS OAKMARK INTERNATIONAL FUND CLASS A	BOSTON, MA	12/8/2010	00598693-03	Pending-Cleared
NATIXIS FUNDS TR I NATIXIS OAKMARK INTERNATIONAL FUND CLASS C	BOSTON, MA	12/8/2010	00598695-03	Pending-Cleared
1ST TR COMBINED SERIES 341 BUILD AMERICA BONDS PORTFOLIO 10 20 YEAR SERIES 13	WHEATON, IL	12/7/2010	00598673-05	Pending-Cleared
FT 2733 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 24	WHEATON, IL	12/7/2010	00598672-05	Pending-Cleared
FT 2741 INTEREST RATE HEDGE PORTFOLIO SERIES 21	WHEATON, IL	12/7/2010	00598674-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 749 CLOSED END EQUITY & INCOME PORTFOLIO SERIES 27	LISLE, IL	12/7/2010	00598669-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 749 STRATEGIC INCOME PORTFOLIO SERIES 49	LISLE, IL	12/7/2010	00598670-05	Pending-Cleared
NAVELLIER KIMMEL FACTS STRATEGY PORTFOLIO SERIES 1	MONUMENT, CO	12/7/2010	00598671-05	Pending-Cleared
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN INTERNATIONAL FUND CLASS C	NEW YORK, NY	12/7/2010	00598645-03	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 942 INVESTORS QUALITY TX EX TR SERIES 133	OAKBROOK, IL	12/7/2010	00598668-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 943 INVESTORS QUALITY TX EX TR SERIES 134	OAKBROOK, IL	12/7/2010	00598667-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 944 QUALITY MUNICIPALS INCOME TR 32ND LTD MATURITY SERIES	OAKBROOK, IL	12/7/2010	00598666-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 945 QUALITY MUNICIPALS INCOME TR 33RD LTD MATURITY SERIES	OAKBROOK, IL	12/7/2010	00598665-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 946 INVESTMENT GRADE MUNICIPAL TR SERIES 115	OAKBROOK, IL	12/7/2010	00598664-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1062 S&P DIVIDEND GROWTH OPPORTUNITIES TR SERIES 23	OAKBROOK, IL	12/7/2010	00598663-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1067 DIVIDEND INCOME & VALUE PORTFOLIO 2011 1	OAKBROOK, IL	12/7/2010	00598662-05	Pending-Cleared

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VAN KAMPEN UNIT TR SERIES 1069 CONSERVATIVE MUNICIPAL INCOME PORTFOLIO SERIES 2	OAKBROOK, IL	12/7/2010	00598661-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1071 EMERGING MARKETS PORTFOLIO 2011 1	OAKBROOK, IL	12/7/2010	00598660-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1072 ECONOMIC EXPANSION PORTFOLIO SERIES 3	OAKBROOK, IL	12/7/2010	00598659-05	Pending-Cleared
ADVISORS INNER CIRCLE FUND 2 GRT ABSOLUTE RETURN FUND ADVISOR CLASS SHARES	BOSTON, MA	12/6/2010	00598652-03	Registered
FT 2520 TARGET FOCUS 4 SEPT 10 TERM 11 30 11	WHEATON, IL	12/6/2010	00598635-05	Pending-Cleared
FT 2520 TARGET TRIAD SEPT 10 TERM 11 30 11	WHEATON, IL	12/6/2010	00598634-05	Pending-Cleared
FT 2566 CONVERTIBLE & INCOME SELECT CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	12/6/2010	00598633-05	Pending-Cleared
FT 2737 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 20	WHEATON, IL	12/6/2010	00598636-05	Pending-Cleared
FUNDVANTAGE TR DUPONT CAPITAL EMERGING MARKETS FUND CLASS I	WILMINGTON, DE	12/6/2010	00598651-03	Registered
NEUBERGER BERMAN EQUITY FUNDS NEUBERGER BERMAN INTERNATIONAL FUND CLASS A	NEW YORK, NY	12/6/2010	00598644-03	Pending-Cleared
SMART TR ENHANCED VALUE 2 TR 2010 SERUES H	PARSIPPANY, NJ	12/6/2010	00598632-05	Pending-Cleared
FT 2535 CORE HOLDINGS GROWTH TR 2010 FALL SERIES	WHEATON, IL	12/3/2010	00598619-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 746 GUGGENHEIM BULLETSHARES 2011-2017 CORPORATE BOND ETF LADDER PORTFOLIO S	LISLE, IL	12/3/2010	00598620-05	Pending-Cleared
MANAGED ACCOUNT SERIES US MORTGAGE PORTFOLIO INVESTOR A SHARES	PLAINSBORO, NJ	12/3/2010	00598657-03	Pending-Cleared

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MANAGED ACCOUNT SERIES US MORTGAGE PORTFOLIO INVESTOR C SHARES	PLAINSBORO, NJ	12/3/2010	00598658-03	Pending-Cleared
1ST TR COMBINED SEIRES 342 BUILD AMERICA BONDS PORTFOLIO SERIES 23	WHEATON, IL	12/2/2010	00598513-05	Pending-Cleared
DFA INVESTMENT DIMENSIONS GROUP INC EMERGING MARKETS VALUE PORTFOLIO CLASS R2A SHARES	AUSTIN, TX	12/2/2010	00598537-03	Registered
FT 2695 BALANCED INCOME SELECT PORTFOLIO SERIES 18	WHEATON, IL	12/2/2010	00598510-05	Pending-Cleared
FT 2696 MARKET STRENGTH ALLOCATION PORTFOLIO SERIES 5	WHEATON, IL	12/2/2010	00598512-05	Pending-Cleared
FT 2697 TECHNOLOGY SELECT PORTFOLIO SERIES 38	WHEATON, IL	12/2/2010	00598509-05	Pending-Cleared
FT 2727 MUNICIPAL INCOME SLECT CLOSED END PORTFOLIO SEIRES 27	WHEATON, IL	12/2/2010	00598511-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 747 WILSHIRE GLOBAL ETF ALLOCATION PORTFOLIO SERIES 1	LISLE, IL	12/2/2010	00598508-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIO SERIES 750 CLOSED END INCOME & TREASURY LTD DURATION PORTFOLIO SERIES 10	LISLE, IL	12/2/2010	00598507-05	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECURITIES FUND CLASS P	DES MOINES, IA	12/2/2010	00598538-03	Pending-Cleared
REAL ESTATE INCOME TR PORTFOLIO SERIES 10	MONUMENT, CO	12/2/2010	00598506-05	Pending-Cleared
VAN KAMPEN UNI TR SERIES 1068 S&P DIVIDEND SUSTAINABILITY PORTFOLIO 2011 1	OAKBROOK, IL	12/2/2010	00598495-05	Pending-Cleared
VAN KAMPEN UNI TR SERIES 1070 PRECIOUS METALS & MINING PORTFOLIO 2011 1	OAKBROOK, IL	12/2/2010	00598494-05	Pending-Cleared

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VAN KAMPEN UNIT TR SERIES 1060 CLOSED END STRATEGY COVERED CALL INCOME PORTFOLIO 2011 1	OAKBROOK, IL	12/2/2010	00598499-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1060 CLOSED END STRATEGY VALUE EQUITY & INCOME PORTFOLIO 2011 1	OAKBROOK, IL	12/2/2010	00598498-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1063 S&P POWERPICKS PORTFOLIO 2011 1	OAKBROOK, IL	12/2/2010	00598497-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1066 CENTRAL EQUITY TR DIVERSIFIED INCOME SERIES 38	OAKBROOK, IL	12/2/2010	00598496-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES TAXABLE INCOME SERIES 297 BUILD AMERICA BONDS INCOME TR SERIES 60	OAKBROOK, IL	12/2/2010	00598502-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES TAXABLE INCOME SERIES 298 BUILD AMERICAS BONDS INCOME TR SERIES 61	OAKBROOK, IL	12/2/2010	00598503-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES TAXABLE INCOME SERIES 299 BUILD AMERICAS BONDS INCOME TR SERIES 62	OAKBROOK, IL	12/2/2010	00598504-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES TAXABLE INCOME SERIES 300 BUILD AMERICAS BONDS INCOME TR SERIES 63	OAKBROOK, IL	12/2/2010	00598505-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES TAXABLE INCOME SERIES 301 BUILD AMERICA BONDS INCOME TR 10 20 YEAR SERIES 26	OAKBROOK, IL	12/2/2010	00598501-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES TAXABLE INCOME SERIES 302 BUILD AMERICA BONDS INCOME TR 10 20 YEAR SERIES 27	OAKBROOK, IL	12/2/2010	00598500-05	Pending-Cleared
FEDERATED EQUITY FUNDS FEDERATED GLOBAL EQUITY FUND INSTITUTIONAL SHARES	WARRENDALE, PA	12/1/2010	00598423-03	Pending-Cleared

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FEDERATED INCOME SECURITIES TR FEDERATED FLOATING RATE STRATEGIC INCOME FUND INSTITUTIONAL SHARES	WARRENDALE, PA	12/1/2010	00598424-03	Pending-Cleared
FEDERATED INCOME SECURITIES TR FEDERATED GLOBAL MACRO BOND FUND INSTITUTIONAL SHARES	WARRENDALE, PA	12/1/2010	00598425-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN FUNDS ULTRA SHORT DURATION BOND FUND INSTITUTIONAL CLASS SHARES	COLUMBUS, OH	11/30/2010	00598335-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS A	SAN FRANCISCO, CA	11/30/2010	00598740-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS B	SAN FRANCISCO, CA	11/30/2010	00598744-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS C	SAN FRANCISCO, CA	11/30/2010	00598742-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS F 1	SAN FRANCISCO, CA	11/30/2010	00598736-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS F 2	SAN FRANCISCO, CA	11/30/2010	00598737-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 1	SAN FRANCISCO, CA	11/30/2010	00598738-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 2	SAN FRANCISCO, CA	11/30/2010	00598739-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 3	SAN FRANCISCO, CA	11/30/2010	00598741-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 4	SAN FRANCISCO, CA	11/30/2010	00598743-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 5	SAN FRANCISCO, CA	11/30/2010	00598745-03	Registered
AMERICAN FUNDS MORTGAGE FUND CLASS R 6	SAN FRANCISCO, CA	11/30/2010	00598746-03	Registered
AMERICAN FUNDS TX EX FUND OF NY CLASS A	SAN FRANCISCO, CA	11/30/2010	00598731-03	Registered
AMERICAN FUNDS TX EX FUND OF NY CLASS B	SAN FRANCISCO, CA	11/30/2010	00598732-03	Registered
AMERICAN FUNDS TX EX FUND OF NY CLASS C	SAN FRANCISCO, CA	11/30/2010	00598734-03	Registered
AMERICAN FUNDS TX EX FUND OF NY CLASS F 1	SAN FRANCISCO, CA	11/30/2010	00598733-03	Registered
AMERICAN FUNDS TX EX FUND OF NY CLASS F 2	SAN FRANCISCO, CA	11/30/2010	00598735-03	Registered

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EATON VANCE MUTUAL FUNDS TR EATON VANCE GLOBAL MACRO ABSOLUTE RETURN ADVANTAGE FUND CLASS R SHARES	BOSTON, MA	11/30/2010	00598747-03	Pending-Cleared
JPMORGAN TR 1 INTREPID VALUE FUND CLASS R6	BOSTON, MA	11/30/2010	00598122-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CREDIT OPPORTUNITIES FUND CLASS A	BOSTON, MA	11/30/2010	00598098-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CREDIT OPPORTUNITIES FUND CLASS C	BOSTON, MA	11/30/2010	00598099-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CREDIT OPPORTUNITIES FUND CLASS R2	BOSTON, MA	11/30/2010	00598100-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CREDIT OPPORTUNITIES FUND CLASS R5	BOSTON, MA	11/30/2010	00598101-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CREDIT OPPORTUNITIES FUND CLASS R6	BOSTON, MA	11/30/2010	00598102-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN CREDIT OPPORTUNITIES FUND SELECT CLASS	BOSTON, MA	11/30/2010	00598103-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL NATURAL RESOURCES FUND CLASS R2	BOSTON, MA	11/30/2010	00598106-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL NATURAL RESOURCES FUND CLASS R5	BOSTON, MA	11/30/2010	00598107-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL NATURAL RESOURCES FUND CLASS A	BOSTON, MA	11/30/2010	00598104-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL NATURAL RESOURCES FUND CLASS C	BOSTON, MA	11/30/2010	00598105-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL NATURAL RESOURCES FUND SELECT CLASS	BOSTON, MA	11/30/2010	00598108-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GROWTH LONG SHORT FUND CLASS A	BOSTON, MA	11/30/2010	00598087-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GROWTH LONG SHORT FUND CLASS C	BOSTON, MA	11/30/2010	00598088-03	Pending-Cleared

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JPMORGAN TR 1 JPMORGAN GROWTH LONG SHORT FUND SELECT CLASS	BOSTON, MA	11/30/2010	00598089-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN HIGHBRIDGE DYNAMIC COMMODITIES FUND R5 CLASS	BOSTON, MA	11/30/2010	00598086-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN INFLATION MANAGED BOND FUND R6 CLASS	BOSTON, MA	11/30/2010	00598109-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN INTERNATIONAL EQUITY FUND R6 CLASS	BOSTON, MA	11/30/2010	00598110-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN INTERNATIONAL OPPORTUNITIES FUND R6 CLASS	BOSTON, MA	11/30/2010	00598111-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN INTERNATIONAL VALUE FUND R6 CLASS	BOSTON, MA	11/30/2010	00598112-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN LARGE CAP GROWTH FUND CLASS R6	BOSTON, MA	11/30/2010	00598119-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN LARGE CAP VALUE FUND CLASS R6	BOSTON, MA	11/30/2010	00598120-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MID CAP CORE FUND CLASS A	BOSTON, MA	11/30/2010	00598093-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MID CAP CORE FUND CLASS C	BOSTON, MA	11/30/2010	00598094-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MID CAP CORE FUND CLASS R2	BOSTON, MA	11/30/2010	00598095-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MID CAP CORE FUND CLASS R5	BOSTON, MA	11/30/2010	00598096-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MID CAP CORE FUND SELECT CLASS	BOSTON, MA	11/30/2010	00598097-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI CAP LONG SHORT FUND CLASS A	BOSTON, MA	11/30/2010	00598090-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI CAP LONG SHORT FUND CLASS C	BOSTON, MA	11/30/2010	00598091-03	Pending-Cleared

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JPMORGAN TR 1 JPMORGAN MULTI CAP LONG SHORT FUND SELECT CLASS	BOSTON, MA	11/30/2010	00598092-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI SECTOR INCOME FUND CLASS A	BOSTON, MA	11/30/2010	00598113-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI SECTOR INCOME FUND CLASS C	BOSTON, MA	11/30/2010	00598114-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI SECTOR INCOME FUND R2 SHARES	BOSTON, MA	11/30/2010	00598115-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI SECTOR INCOME FUND R5 SHARES	BOSTON, MA	11/30/2010	00598116-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN MULTI SECTOR INCOME FUND SELECT CLASS	BOSTON, MA	11/30/2010	00598117-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN SMALL CAP GROWTH FUND CLASS R6	BOSTON, MA	11/30/2010	00598121-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN US EQUITY FUND CLASS R5	BOSTON, MA	11/30/2010	00598118-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SNOW CAPITAL ALL CAP VALUE CLASS A	MILWAUKEE, WI	11/30/2010	00598080-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SNOW CAPITAL ALL CAP VALUE CLASS C	MILWAUKEE, WI	11/30/2010	00598081-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SNOW CAPITAL ALL CAP VALUE INSTITUTIONAL CLASS	MILWAUKEE, WI	11/30/2010	00598082-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SNOW CAPITAL SMALL CAP VALUE FUND CLASS A	MILWAUKEE, WI	11/30/2010	00598079-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SNOW CAPITAL SMALL CAP VALUE FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	11/30/2010	00598077-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SNOW CAPITAL SMALL CAP VALUE FUND CLASS C	MILWAUKEE, WI	11/30/2010	00598078-03	Pending-Cleared

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UBS FUNDS UBS FIXED INCOME OPPORTUNITIES FUND CLASS A	BOSTON, MA	11/30/2010	00598083-03	Pending-Cleared
UBS FUNDS UBS FIXED INCOME OPPORTUNITIES FUND CLASS C	BOSTON, MA	11/30/2010	00598084-03	Pending-Cleared
UBS FUNDS UBS FIXED INCOME OPPORTUNITIES FUND CLASS Y	BOSTON, MA	11/30/2010	00598085-03	Pending-Cleared
FT 2726 STRATEGIC INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 3	WHEATON, IL	11/29/2010	00598049-05	Pending-Cleared
FT 2732 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	11/29/2010	00598050-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 748 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 4	LISLE, IL	11/29/2010	00598048-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 748 GUGGENHEIM BMAC COMMODITY PRODUCERS STRATEGY PORTFOLIO SERIES 4	LISLE, IL	11/29/2010	00598047-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 748 GUGGENHEIM GLOBAL TELECOM STRATEGY PORTFOLIO SERIES 4	LISLE, IL	11/29/2010	00598046-05	Pending-Cleared
Number of Investment Company Filings: 136				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ALPHA ENERGY PARTNERS DRILLING PROGRAM 2010 A LP	GETZVILLE, NY	12/9/2010	00598762-07	Filed
LS REAL ESTATE RECOVERY TR	NEW YORK, NY	12/9/2010	00598764-07	Filed
LS REAL ESTATE RECOVERY TR A	NEW YORK, NY	12/9/2010	00598763-07	Filed
CHINA WESEN RECYCLING TECHNOLOGY INC	GURANGZHOU,	12/8/2010	00598685-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/29/2010 through 12/10/2010**

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ARGYLE ENERGY 2010 3 LA 2 WELL PROGRAM LP	BOWLING GREEN, KY	12/7/2010	00598676-07	Filed
HIGHSTAR CAPITAL 4 LP	NEW YORK, NY	12/7/2010	00598675-07	Filed
IBG LLC	GREENWICH, CT	12/7/2010	00598646-07	Filed
MOBIUS THERAPEUTICS LLC	ST LOUIS, MO	12/6/2010	00598637-07	Filed
POINT LOBOS SPECIAL OPPORTUNITIES 3 LLC	SAN FRANCISCO, CA	12/6/2010	00598638-07	Filed
FIRSTATLANTIC FINANCIAL HOLDINGS INC	JACKSONVILLE, FL	12/3/2010	00598622-07	Filed
LUCAS VENTURE GROUP 6 LLC	MENLO PARK, CA	12/3/2010	00598623-07	Filed
ZINC AIR INC	KALISPELL, MT	12/3/2010	00598536-07	Filed
NEVADA GEOTHERMAL POWER INC	VANCOUVER BC V6C 1T2,	12/2/2010	00598514-07	Filed
VINCULUM WINE LTD	ROAD TOWN TORTOLA VG1110,	12/2/2010	00598515-07	Filed
INTERVENTION ENERGY LLC	MINOT, ND	12/1/2010	00598339-07	Filed
SOCIALWISE INC	SAN DIEGO, CA	12/1/2010	00598338-07	Filed
TYHEE DEVELOPMENT CORP	VANCOUVER BC B6B 1N2,	12/1/2010	00598340-07	Filed
LUCAS VENTURE GROUP 7 LLC	MENLO PARK, CA	11/30/2010	00598124-07	Filed
ARGYLE ENERGY 2010 4 YEP OFFSET DEVELOPMENT LP	BOWLING GREEN, KY	11/29/2010	00598052-07	Filed
ATHENA FINANCE LLC	SOUTHINGTON, CT	11/29/2010	00598055-07	Filed
CLEARVIEW ENERGY LP	DALLAS, TX	11/29/2010	00598053-07	Filed
CLICKN KIDS INC	AGOURA HILLS, CA	11/29/2010	00598054-07	Filed
HOLOGIC INC	BEDFORD, MA	11/29/2010	00598059-07	Filed
MAC FINANCIAL LTD	HAMILTON HM12,	11/29/2010	00598056-07	Filed
SAVANNA REAL ESTATE FUND 2 LP	NEW YORK, NY	11/29/2010	00598058-07	Filed
SPRING BROOK FISHER AUTOMOTIVE FUND 1 LLC	NAPERVILLE, IL	11/29/2010	00598057-07	Filed
SPRING CREEK HOLDINGS LLC	BARRINGTON, IL	11/29/2010	00598051-07	Filed
Number of Regulation D Notice Filings: 27				

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 11/29/2010 through 12/10/2010**

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
Bizzibiz Franchise, Inc.	Scottsdale, AZ	12/7/2010	601603	Registered
BEVERAGE FRANCHISE LLC / Mountain mudd	BILLINGS, MT	12/1/2010	601601	Registered
Number of Franchise Filings: 2				

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