

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CCPA PURCHASING PARTNERS LP	CHICAGO, IL	1/10/2011	00603925-02	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ADHEREX TECHNOLOGIES INC	CHAPEL HILL, NC	1/6/2011	00603393-08	Not Disallowed
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
1ST TR COMBINED SERIES 347 TX EX MUNICIPAL INCOME TR SERIES 263	WHEATON, IL	1/14/2011	00604662-05	Pending-Cleared
1ST TR COMBINED SERIES 348 BUILD AMERICA BONDS PORTFOLIO SERIES 25	WHEATON, IL	1/14/2011	00604663-05	Pending-Cleared
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 28	MONUMENT, CO	1/14/2011	00604658-05	Pending-Cleared
BRIC ADVANTAGE PORTFOLIO SERIES 2011 1Q	MONUMENT, CO	1/14/2011	00604657-05	Pending-Cleared
FT 2758 SELECT DSIP PORTFOLIO 1ST QUARTER 2011 SERIES	WHEATON, IL	1/14/2011	00604664-05	Pending-Cleared
FT 2768 INTEREST RATE HEDGE PORTFOLIO SERIES 24	WHEATON, IL	1/14/2011	00604661-05	Pending-Cleared
GLOBAL TECHNOLOGY PORTFOLIO 2011 1	MONUMENT, CO	1/14/2011	00604659-05	Pending-Cleared
HIGH YIELD & INCOME CLOSED END PORTFOLIO SERIES 2011 1	MONUMENT, CO	1/14/2011	00604660-05	Pending-Cleared
WEITZ FUNDS RESEARCH FUND	OMAHA, NE	1/14/2011	00604655-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 2761 ENERGY SELECT PORTFOLIO SERIES 37	WHEATON, IL	1/13/2011	00604142-05	Pending-Cleared
FT 2761 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 19	WHEATON, IL	1/13/2011	00604141-05	Pending-Cleared
FT 2762 STRATEGIC INCOME ADVANTAGE SELECT CLOSED END PORTFOLIO SERIES 24	WHEATON, IL	1/13/2011	00604139-05	Pending-Cleared
FT 2769 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	1/13/2011	00604140-05	Pending-Cleared
FT 2772 ETF GROWTH & INCOME JAN 11	WHEATON, IL	1/13/2011	00604138-05	Pending-Cleared
GLOBAL CLOSED END PORTFOLIO SERIES 2011 1	MONUMENT, CO	1/13/2011	00604132-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 730 GUGGENHEIM BUILD AMERICA BONDS TR SERIES 7	LISLE, IL	1/13/2011	00604134-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 755 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 24	LISLE, IL	1/13/2011	00604133-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 756 GUGGENHEIM INFLATION DEFENSE & DIVIDEND PORTFOLIO SERIES 2	LISLE, IL	1/13/2011	00604137-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 758 BNY MELLON BRAZIL RUSSIA INDIA & CHINA PORTFOLIO SERIES 10	LISLE, IL	1/13/2011	00604136-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 759 UTILITIES PORTFOLIO SERIES 13	LISLE, IL	1/13/2011	00604135-05	Pending-Cleared
OPPENHEIMER CAPITAL INCOME FUND CLASS Y SHARES	DENVER, CO	1/11/2011	00603914-03	Pending-Cleared
PRINCIPAL FUNDS INC INTERNATIONAL VALUE FUND I INSTITUTIONAL CLASS	DES MOINES, IA	1/11/2011	00603935-03	Registered
FT 2757 MUNICIPAL INCOME CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	1/10/2011	00603814-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 2751 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 1Q 11 TERM 4 18 12	WHEATON, IL	1/7/2011	00603707-05	Pending-Cleared
FT 2754 FINANCIALS SELECT PORTFOLIO SERIES 34	WHEATON, IL	1/7/2011	00603708-05	Pending-Cleared
FT 2754 PRECIOUS METALS SELECT PORTFOLIO SERIES 22	WHEATON, IL	1/7/2011	00603709-05	Pending-Cleared
FT 2764 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 19	WHEATON, IL	1/7/2011	00603710-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 754 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 18	LISLE, IL	1/7/2011	00603706-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 754 MULTIPLE ASSET PORTFOLIO PLUS 2 YEAR SERIES 36	LISLE, IL	1/7/2011	00603705-05	Pending-Cleared
SMART TR TAX ADVANTAGED GROWTH & INCOME TR 2011 SERIES A	PARSIPPANY, NY	1/7/2011	00603704-05	Pending-Cleared
1ST TR COMBINED SERIES 346 BUILD AMERICA BONDS PORTFOLIO 10 20 YEAR SERIES 14	WHEATON, IL	1/6/2011	00603383-05	Pending-Cleared
FT 2746 INFLATION HEDGE OPPORTUNITY PORTFOLIO SERIES 7	WHEATON, IL	1/6/2011	00603381-05	Pending-Cleared
FT 2747 MUNICIPAL ADVANTAGE CLOSED END & ETF PORTFOLIO SERIES 4	WHEATON, IL	1/6/2011	00603382-05	Pending-Cleared
FT 2752 60 40 STRATEGIC ALLOCATION PORT 1Q 11 TERM 4 19 12	WHEATON, IL	1/6/2011	00603375-05	Pending-Cleared
FT 2752 75 25 STRATEGIC ALLOCATION PORT 1Q 11 TERM 4 19 12	WHEATON, IL	1/6/2011	00603374-05	Pending-Cleared
FT 2753 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 4	WHEATON, IL	1/6/2011	00603380-05	Pending-Cleared
FT 2755 GLOBAL INFRASTRUCTURE PORTFOLIO SERIES 15	WHEATON, IL	1/6/2011	00603376-05	Pending-Cleared
FT 2756 MERGER & ACQUISITION PORTFOLIO SERIES 6	WHEATON, IL	1/6/2011	00603379-05	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 2765 REIT GROWTH & INCOME PLUS PORTFOLIO SERIES 6	WHEATON, IL	1/6/2011	00603378-05	Pending-Cleared
FT 2766 INTEREST RATE HEDGE PORTFOLIO SERIES 23	WHEATON, IL	1/6/2011	00603387-05	Pending-Cleared
FT 2767 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 31	WHEATON, IL	1/6/2011	00603384-05	Pending-Cleared
FT 2777 PREFERRED INCOME PORTFOLIO SERIES 41	WHEATON, IL	1/6/2011	00603386-05	Pending-Cleared
FT 2778 STRATEGIC INCOME PLUS CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	1/6/2011	00603385-05	Pending-Cleared
FT 2779 BAKER BOYER CORE EQUITY PORTFOLIO SERIES 3	WHEATON, IL	1/6/2011	00603388-05	Pending-Cleared
FT 2804 BRAZIL PORTFOLIO SERIES 7	WHEATON, IL	1/6/2011	00603377-05	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC ASIAN EQUITY PORTFOLIO CLASS P	NEW YORK, NY	1/6/2011	00603373-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC ASIAN EQUITY PORTFOLIO CLASS L	NEW YORK, NY	1/6/2011	00603371-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC ASIAN EQUITY PORTFOLIO CLASS H	NEW YORK, NY	1/6/2011	00603372-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC ASIAN EQUITY PORTFOLIO CLASS I	NEW YORK, NY	1/6/2011	00603370-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL ADVANTAGE PORTFOLIO CLASS L	NEW YORK, NY	1/6/2011	00603367-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL ADVANTAGE PORTFOLIO CLASS I	NEW YORK, NY	1/6/2011	00603368-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL ADVANTAGE PORTFOLIO CLASS P	NEW YORK, NY	1/6/2011	00603366-03	Registered

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for 1/3/2011 through 1/14/2011**

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Firm Name	Location	Date Received	File Number	Status
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL ADVANTAGE PORTFOLIO CLASS H	NEW YORK, NY	1/6/2011	00603369-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL DISCOVERY PORTFOLIO CLASS H	NEW YORK, NY	1/6/2011	00603365-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL DISCOVERY PORTFOLIO CLASS L	NEW YORK, NY	1/6/2011	00603363-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL DISCOVERY PORTFOLIO CLASS I	NEW YORK, NY	1/6/2011	00603364-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC GLOBAL DISCOVERY PORTFOLIO CLASS P	NEW YORK, NY	1/6/2011	00603362-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL ADVANTAGE PORTFOLIO CLASS L	NEW YORK, NY	1/6/2011	00603359-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL ADVANTAGE PORTFOLIO CLASS I	NEW YORK, NY	1/6/2011	00603360-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL ADVANTAGE PORTFOLIO CLASS P	NEW YORK, NY	1/6/2011	00603358-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC INTERNATIONAL ADVANTAGE PORTFOLIO CLASS H	NEW YORK, NY	1/6/2011	00603361-03	Registered
UNIFIED SERIES TR SOUND MIND INVESTING BALANCED FUND	INDIANAPOLIS, IN	1/6/2011	00603910-03	Registered
ABERDEEN FUNDS ABERDEEN EMERGING MARKETS DEBT LOCAL CURRENCY FUND INSTITUTIONAL CLASS SHARES	COLUMBUS, OH	1/5/2011	00603344-03	Pending-Cleared

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for 1/3/2011 through 1/14/2011**

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Firm Name	Location	Date Received	File Number	Status
ABERDEEN FUNDS ABERDEEN EMERGING MARKETS DEBT LOCAL CURRENCY FUND INSTITUTIONAL SERVICE CLASS SHARES	COLUMBUS, OH	1/5/2011	00603345-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN EMERGING MARKETS DEBT LOCAL CURRENCY FUND CLASS A SHARES	COLUMBUS, OH	1/5/2011	00603342-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN EMERGING MARKETS DEBT LOCAL CURRENCY FUND CLASS C SHARES	COLUMBUS, OH	1/5/2011	00603343-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN EMERGING MARKETS DEBT LOCAL CURRENCY FUND CLASS R SHARES	COLUMBUS, OH	1/5/2011	00603346-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN GLOBAL HIGH YIELD BOND FUND INSTITUTIONAL CLASS SHARES	COLUMBUS, OH	1/5/2011	00603349-03	Registered
ABERDEEN FUNDS ABERDEEN GLOBAL HIGH YIELD BOND FUND INSTITUTIONAL SERVICE CLASS SHARES	COLUMBUS, OH	1/5/2011	00603350-03	Registered
ABERDEEN FUNDS ABERDEEN GLOBAL HIGH YIELD BOND FUND CLASS A SHARES	COLUMBUS, OH	1/5/2011	00603347-03	Registered
ABERDEEN FUNDS ABERDEEN GLOBAL HIGH YIELD BOND FUND CLASS C SHARES	COLUMBUS, OH	1/5/2011	00603348-03	Registered
ABERDEEN FUNDS ABERDEEN GLOBAL HIGH YIELD BOND FUND CLASS R SHARES	COLUMBUS, OH	1/5/2011	00603351-03	Registered
ABERDEEN FUNDS ABERDEEN ULTRA SHORT DURATION BOND FUND INSTITUTIONAL SERVICE CLASS SHARES	COLUMBUS, OH	1/5/2011	00603340-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ABERDEEN FUNDS ABERDEEN ULTRA SHORT DURATION BOND FUND CLASS C SHARES	COLUMBUS, OH	1/5/2011	00603339-03	Registered
ABERDEEN FUNDS ABERDEEN ULTRA SHORT DURATION BOND FUND CLASS R SHARES	COLUMBUS, OH	1/5/2011	00603341-03	Registered
ABERDEEN FUNDS ABERDEEN ULTRA SHORT DURATION BOND FUND CLASS A SHARES	COLUMBUS, OH	1/5/2011	00603338-03	Registered
OCEANSTONE FUND	CARLSBAD, CA	1/5/2011	00600397-03	Pending-Cleared
PIMCO FUNDS PIMCO EM FUNDAMENTAL INDEXPLUS TR STRATEGY FUND CLASS P	NEWPORT BEACH, CA	1/5/2011	00603352-03	Registered
1ST TR COMBINED SERIES 345 BUILD AMERICA BONDS PORTFOLIO SERIES 24	WHEATON, IL	1/4/2011	00600290-05	Pending-Cleared
CATALYST FUNDS CAMELOT PREMIUM RETURN FUND CLASS A	WILLOW GROVE, PA	1/4/2011	00600283-03	Pending-Cleared
CATALYST FUNDS CAMELOT PREMIUM RETURN FUND CLASS C	WILLOW GROVE, PA	1/4/2011	00600282-03	Pending-Cleared
DIVIDEND RULER PORTFOLIO 2011A	MONUMENT, CO	1/4/2011	00600288-05	Pending-Cleared
EQUITY DIVIDEND & INCOME CLOSED END PORTFOLIO SERIES 2011 1	MONUMENT, CO	1/4/2011	00600287-05	Pending-Cleared
FT 2745 BALANCED INCOME PORTFOLIO SERIES 27	WHEATON, IL	1/4/2011	00600297-05	Pending-Cleared
FT 2748 EMERGING MARKETS STRENGTH PORTFOLIO SERIES 8	WHEATON, IL	1/4/2011	00600296-05	Pending-Cleared
FT 2749 INTERNATIONAL CAPITAL STRENGTH PORTFOLIO SERIES 6	WHEATON, IL	1/4/2011	00600292-05	Pending-Cleared
FT 2749 SMID CAPITAL STRENGTH PORTFOLIO SERIES 6	WHEATON, IL	1/4/2011	00600291-05	Pending-Cleared
FT 2773 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 27	WHEATON, IL	1/4/2011	00600289-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 2776 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	1/4/2011	00600294-05	Pending-Cleared
FT 2780 STRATEGIC DIVIDEND PLUS PORTFOLIO SERIES	WHEATON, IL	1/4/2011	00600293-05	Pending-Cleared
FT 2803 MORGAN KEEGAN 2011 SELECT IDEAS PORTFOLIO	WHEATON, IL	1/4/2011	00600295-05	Pending-Cleared
GLENMEDE FUND INC SECURED OPTIONS PORTFOLIO	BOSTON, MA	1/4/2011	00600286-03	Pending-Cleared
MMA PRAXIS MUTUAL FUNDS MMA PRAXIS INTERNATIONAL INDEX FUND CLASS A	CINCINNATI, OH	1/4/2011	00600285-03	Pending-Cleared
NILE CAPITAL INVESTMENT TR NILE PAN AFRICA FUND CLASS A	NEW YORK, NY	1/4/2011	00600284-03	Pending-Cleared
NORTHERN LIGHTS FUND TR ARROW COMMODITY STRATEGY FUND CLASS A	HAUPPAGE, NY	1/4/2011	00600280-03	Pending-Cleared
NORTHERN LIGHTS FUND TR ARROW COMMODITY STRATEGY FUND CLASS C	HAUPPAGE, NY	1/4/2011	00600281-03	Pending-Cleared
ADVISORS INNER CIRCLE FUND 2 FROST DIVERSIFIED STRATEGIES FUND CLASS A SHARES	BOSTON, MA	1/3/2011	00604538-03	Pending-Cleared
ADVISORS SERIES TR PIA HIGH YIELD FUND INVESTOR CLASS	MILWAUKEE, WI	1/3/2011	00600235-03	Pending-Cleared
BARON SELECT FUNDS BARON EMERGING MARKETS FUND INSTITUTIONAL SHARES	NEW YORK, NY	1/3/2011	00604533-03	Registered
BARON SELECT FUNDS BARON EMERGING MARKETS FUND RETAIL SHARES	NEW YORK, NY	1/3/2011	00604534-03	Registered
FMI FUNDS INC FMI INTERNATIONAL FUND	MILWAUKEE, WI	1/3/2011	00600237-03	Pending-Cleared
FORWARD FUNDS FORWARD COMMODITY LONG SHORT STRATEGY FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	1/3/2011	00604529-03	Registered
FORWARD FUNDS FORWARD COMMODITY LONG SHORT STRATEGY FUND INVESTOR CLASS	SAN FRANCISCO, CA	1/3/2011	00604532-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FORWARD FUNDS FORWARD TACTICAL ENHANCED FUND CLASS A	SAN FRANCISCO, CA	1/3/2011	00604527-03	Registered
FORWARD FUNDS FORWARD TACTICAL ENHANCED FUND CLASS C	SAN FRANCISCO, CA	1/3/2011	00604528-03	Registered
FORWARD FUNDS FORWARD TACTICAL ENHANCED FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	1/3/2011	00604530-03	Registered
FORWARD FUNDS FORWARD TACTICAL ENHANCED FUND INVESTOR CLASS	SAN FRANCISCO, CA	1/3/2011	00604531-03	Registered
FUNDVANTAGE TR TW SMALL CAP GROWTH FUND INSTITUTIONAL CLASS	WILMINGTON, DE	1/3/2011	00604535-03	Registered
FUNDVANTAGE TR WHV EMERGING MARKETS EQUITY FUND CLASS A SHARES	WILMINGTON, DE	1/3/2011	00604536-03	Registered
FUNDVANTAGE TR WHV EMERGING MARKETS EQUITY FUND CLASS I SHARES	WILMINGTON, DE	1/3/2011	00604537-03	Registered
GUGGNEHEIM DEFINED PORTFOLIOS SERIES 753 GUGGENHEIM INTERNATIONAL DIVIDEND STRATEGY PORTFOLIO SERIES 10	LISLE, IL	1/3/2011	00600234-05	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL ALL CAP EQUITY FUND CLASS C SHARES	CHICAGO, IL	1/3/2011	00600244-03	Pending-Cleared
HENDERSON GLOBAL FUNDS HENDERSON INTERNATIONAL ALL CAP EQUITY FUND CLASS A SHARES	CHICAGO, IL	1/3/2011	00600245-03	Pending-Cleared
NATIONWIDE MUTUAL FUNDS NATIONWIDE DESTINATION 2055 FUND CLASS C	BOSTON, MA	1/3/2011	00600249-03	Pending-Cleared
NATIONWIDE MUTUAL FUNDS NATIONWIDE DESTINATION 2055 FUND CLASS R1	BOSTON, MA	1/3/2011	00600246-03	Registered
NATIONWIDE MUTUAL FUNDS NATIONWIDE DESTINATION 2055 FUND INSTITUTIONAL SERVICE CLASS	BOSTON, MA	1/3/2011	00600251-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

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Firm Name	Location	Date Received	File Number	Status
NATIONWIDE MUTUAL FUNDS NATIONWIDE DESTINATION 2055 FUND CLASS A	BOSTON, MA	1/3/2011	00600248-03	Pending-Cleared
NATIONWIDE MUTUAL FUNDS NATIONWIDE DESTINATION 2055 FUND INSTITUTIONAL CLASS	BOSTON, MA	1/3/2011	00600250-03	Pending-Cleared
NATIONWIDE MUTUAL FUNDS NATIONWIDE DESTINATION 2055 FUND CLASS R2	BOSTON, MA	1/3/2011	00600247-03	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS MORGAN DEMPSEY SMALL MICRO CAP VALUE FUND	MILWAUKEE, WI	1/3/2011	00600236-03	Pending-Cleared
Number of Investment Company Filings: 120				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BROOKWOOD COMMERCE IVESTORS LLC	BEVERLY, MA	1/14/2011	00604665-07	Filed
JAMES ALPHA SMALL CAP FUND LTD	GEORGE TOWN GRAND CAYMAN,	1/14/2011	00604666-07	Filed
BARCLAYS BAND PLC ENG	LONDON E14 5HP,	1/13/2011	00604144-07	Filed
BLACKSTONE STRATEGIC ALLIANCE FUND 2 LP	NEW YORK, NY	1/13/2011	00604145-07	Filed
HBK OFFSHORE FUND 2 LP	DALLAS, TX	1/13/2011	00604146-07	Filed
KEEN FOCUS FUND 2 LP	CHARLOTTE, NC	1/13/2011	00604143-07	Filed
CELLERATION INC	EDEN PRAIRIE, MN	1/11/2011	00603920-07	Filed
HALEK ENERGY ND LLC	LAS VEGAS, NV	1/11/2011	00603919-07	Filed
SAB EQUITY PARTNERSHIP 3 LP	SAN ANTONIO, TX	1/11/2011	00603922-07	Filed
SAB EQUITY PARTNERSHIP LP	SAN ANTONIO, TX	1/11/2011	00603923-07	Filed
SAB VALUE OPPORTUNITIES FUND LP	SAN ANTONIO, TX	1/11/2011	00603921-07	Filed
TITAN SPINE LLC	MEQUON, WI	1/11/2011	00603924-07	Filed
ADDISON CLARK OFFSHORE FUND LTD	GEORGE TOWN GRAND CAYMAN,	1/7/2011	00603702-07	Filed

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for 1/3/2011 through 1/14/2011**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
ARGONAUT MARCRO PARTNERSHIP LP	NEW YORK, NY	1/7/2011	00603701-07	Filed
CENTERBRIDGE CAPITAL PARTNERS 2 LP	NEW YORK, NY	1/7/2011	00603703-07	Filed
EL ALEPH FUND A LP	NEW YORK, NY	1/7/2011	00603700-07	Filed
COMMUNITY PHARMACY FINANCIAL LLC	RIO, WI	1/6/2011	00603389-07	Filed
ENTERPRISE HOUSING PARTNERS 20 LP	COLUMBIA, MD	1/6/2011	00603391-07	Filed
SANDSTORM METAL & ENERGY LTD	VANCOUVER BC V6C 2T6,	1/6/2011	00603392-07	Filed
VFF 1 FAF LP	SAN FRANCISCO, CA	1/6/2011	00603390-07	Filed
GOLDRICH MINING CO	SPOKANE, WA	1/5/2011	00600398-07	Filed
HEARTWOOD FORESLAND REIT 2 LLC	CHAPEL HILL, NC	1/5/2011	00600399-07	Filed
ORTHOSENSOR INC	SUNRISE, FL	1/5/2011	00600402-07	Filed
PKC HOLDING CORP	NEW YORK, NY	1/5/2011	00600400-07	Filed
PRETIUM RESOURCES INC	VANCOUVER BC V6E 3X2,	1/5/2011	00600401-07	Filed
BHM DISCRETIONARY FUTURES FUND LP	NEW YORK, NY	1/4/2011	00600300-07	Filed
GLADIUS TACTICAL TRADING US LLC	CHICAGO, IL	1/4/2011	00600299-07	Filed
MAPLE LEAF FOODS INC	TORONTO ON M4V 3A2,	1/4/2011	00600298-07	Filed
D&L ENERGY 2010 A LTD	YOUNGSTOWN, OH	1/3/2011	00600253-07	Filed
HANNAHS HILL ENTERPRISES LLC	PHOENIX, AZ	1/3/2011	00600252-07	Filed
HPI APARTMENT OPPORTUNITY FUND 1 LLC	OLD LYME, CT	1/3/2011	00600239-07	Filed
OLD WESTBRUY PRIVATE EQUITY FUND 11 LLC	NEW YORK, NY	1/3/2011	00600238-07	Filed
PSCU FINANCIAL SERVICES INC	ST PETERSBURG, FL	1/3/2011	00600240-07	Filed
Number of Regulation D Notice Filings: 33				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 1/3/2011 through 1/14/2011**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Renters Warehouse USA LLC / Renters Warehouse	Golden Valley, MN	1/14/2011	601714	Registered
Moonvision Enterprises, Inc. / Moonvision Enterprises, Inc.	Greenville, NC	1/11/2011	601700	Registered
FITNESS TOGETHER FRANCHISE CORP / Area Director Franchise Program	Highlands Ranch, CO	1/10/2011	601701	Registered
ANNEX BRANDS INC	SAN DIEGO, CA	1/7/2011	601699	Registered
LEISURE SYSTEMS INC	MILFORD, OH	1/7/2011	601697	Registered
THE MAIDS INTERNATIONAL INC	OMAHA, NE	1/7/2011	601704	Registered
COMPASS GROUP USA INC	CHARLOTTE, NC	1/6/2011	601705	Registered
KIDDIE ACADEMY DOMESTIC FRANCHISING LLC	Abingdon, MD	1/6/2011	601711	Registered
NYLO FRANCHISING LLC	ATLANTA, GA	1/6/2011	601712	Registered
Perfection Bakeries, Inc.	Fort Wayne, IN	1/4/2011	601695	Registered
SYNERGY HOMECARE FRANCHISING LLC	GILBERT, AZ	1/3/2011	601684	Registered
VENDLINK	CHARLOTTE, NC	1/3/2011	601686	Incomplete
Number of Franchise Filings: 12				

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