

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
EMPERIA ACQUISITION CORP	NEW YORK, NY	3/11/2011	00607632-01	Pending
GLOBAL EAGLE ACQUISITION CORP	LOS ANGELES, CA	3/11/2011	00607631-01	Pending
METJET INC	DE PERE, WI	3/8/2011	00607584-02	Pending
AMERICAN CHURCH MORTGAGE CO	,	3/7/2011	00607361-01	Pending
MOODY NATIONAL REIT I INC	HOUSTON, TX	3/7/2011	00607357-01	Pending-Cleared
HEALTHCARE TR OF AMERICA INC	SCOTTSDALE, AZ	3/4/2011	00607341-01	Pending
GRANT PARK FUND LP	CHICAGO, IL	3/2/2011	00607267-01	Pending
BAPTIST GENERAL CONFERENCE CORNERSTONE FUND	ARLINGTON HEIGHTS, IL	2/28/2011	00607154-02	Pending
BAPTIST GENERAL CONFERENCE CORNERSTONE FUND	ARLINGTON HEIGHTS, IL	2/28/2011	00607156-02	Pending
BAPTIST GENERAL CONFERENCE CORNERSTONE FUND	ARLINGTON HEIGHTS, IL	2/28/2011	00607155-02	Pending
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/28/2011	00607158-02	Pending
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/28/2011	00607161-02	Pending
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/28/2011	00607160-02	Pending
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/28/2011	00607157-02	Pending
NATIONAL COVENANT PROPERTIES	CHICAGO, IL	2/28/2011	00607159-02	Pending
Number of Registration Filings: 15				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CHAPEL ROCK CHRISTIAN CHURCH INC	INDIANAPOLIS, IN	3/11/2011	00607635-10	Pending
LIFE CHRISTIAN CHURCH	WEST ORANGE, NJ	3/7/2011	00607573-08	Pending
Number of Exemption Filings: 2				

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AZZAD FUNDS WISE CAPITAL FUND	FALLS CHURCH, VA	3/11/2011	00607633-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 768 DOW JONES RBP DIVIDEND FOCUS PORTFOLIO SERIES 4	LISLE, IL	3/11/2011	00607634-05	Pending-Cleared
PIMCO FUNDS PIMCO REALRETIREMENTB 2010 FUND ADMINISTRATIVE CLASS SHARES	NEWPORT BEACH, CA	3/10/2011	00607614-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENTB 2010 FUND CLASS A	NEWPORT BEACH, CA	3/10/2011	00607611-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENTB 2010 FUND CLASS C	NEWPORT BEACH, CA	3/10/2011	00607613-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENTB 2010 FUND CLASS D	NEWPORT BEACH, CA	3/10/2011	00607615-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENTB 2010 FUND CLASS R	NEWPORT BEACH, CA	3/10/2011	00607612-03	Registered
PIMCO FUNDS PIMCO REALRETIREMENTB 2010 FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	3/10/2011	00607610-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION BALANCED PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607601-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2015 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607591-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2020 PORTFOLIO G	GREENWOOD VILLAGE, CO	3/9/2011	00607588-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2020 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607589-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2020 PORTFOLIO G1	GREENWOOD VILLAGE, CO	3/9/2011	00607597-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2025 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607599-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2030 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607594-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2030 PORTFOLIO G	GREENWOOD VILLAGE, CO	3/9/2011	00607590-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2030 PORTFOLIO G1	GREENWOOD VILLAGE, CO	3/9/2011	00607592-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2035 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607593-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2040 PORTFOLIO G1	GREENWOOD VILLAGE, CO	3/9/2011	00607598-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2040 PORTFOLIO G	GREENWOOD VILLAGE, CO	3/9/2011	00607596-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2040 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607600-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2045 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607604-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2050 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607602-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2050 PORTFOLIO G1	GREENWOOD VILLAGE, CO	3/9/2011	00607605-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2050 PORTFOLIO G	GREENWOOD VILLAGE, CO	3/9/2011	00607603-03	Registered
MAXIM SERIES FUND INC MAXIM SECUREFOUNDATION LIFETIME 2055 PORTFOLIO L	GREENWOOD VILLAGE, CO	3/9/2011	00607595-03	Registered
ASTON FUNDS ASTON HERNDON LARGE CAP VALUE FUND CLASS I SHARES	CHICAGO, IL	3/8/2011	00607623-03	Registered
TARGET PORTFOLIO TR INTERNATIONAL EQUITY PORTFOLIO CLASS Q	NEWARK, NJ	3/8/2011	00607624-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FT 2828 BANKING OPPORTUNITY PRTFOLIO SERIES 7	WHEATON, IL	3/7/2011	00607352-05	Pending-Cleared
FT 2848 MULTI SECTOR INCOME PORTFOLIO SERIES 3	WHEATON, IL	3/7/2011	00607354-05	Pending-Cleared
FT 2863 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 9	WHEATON, IL	3/7/2011	00607355-05	Pending-Cleared
FT 2864 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 23	WHEATON, IL	3/7/2011	00607351-05	Pending-Cleared
FT 2892 REAL ESTATE CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	3/7/2011	00607353-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 726 GUGGENHEIM INTERMEDIATE INVESTMENT GRADE CORPORATE TR SERIES 28	LISLE, IL	3/7/2011	00607356-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 765 CLOSED END COVERED CALL & INCOME PORTFOLIO SERIES 21	LISLE, IL	3/7/2011	00607350-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 765 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 19	LISLE, IL	3/7/2011	00607349-05	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA LIFE GOAL BALANCED GROWTH PORTFOLIO CLASS T	BOSTON, MA	3/4/2011	00607375-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA LIFE GOAL GROWTH PORTFOLIO CLASS R4	BOSTON, MA	3/4/2011	00607377-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA MID CAP VALUE FUND CLASS R4	BOSTON, MA	3/4/2011	00607379-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA MULTI ADVISOR INTERNATIONAL EQUITY FUND CLASS R4	BOSTON, MA	3/4/2011	00607372-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA MULTI ADVISOR INTERNATIONAL EQUITY FUND CLASS Y	BOSTON, MA	3/4/2011	00607373-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
COLUMBIA FUNDS SERIES TR COLUMBIA SHORT TERM BOND FUND CLASS R4	BOSTON, MA	3/4/2011	00607381-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA SMALL CAP INDEX FUND CLASS R4	BOSTON, MA	3/4/2011	00607385-03	Registered
COLUMBIA FUNDS SERIES TR COLUMBIA SMALL CAP INDEX FUND CLASS B	BOSTON, MA	3/4/2011	00607383-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA BALANCED FUND CLASS R4	BOSTON, MA	3/4/2011	00607366-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA BALANCED FUND CLASS R5	BOSTON, MA	3/4/2011	00607368-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA BOND FUND CLASS B	BOSTON, MA	3/4/2011	00607364-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA BOND FUND CLASS T	BOSTON, MA	3/4/2011	00607369-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA CONTRARIAN CORE FUND CLASS R4	BOSTON, MA	3/4/2011	00607378-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA ENERGY & NATURAL RESOURCES FUND CLASS R4	BOSTON, MA	3/4/2011	00607365-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA ENERGY & NATURAL RESOURCES FUND CLASS B	BOSTON, MA	3/4/2011	00607367-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA LARGE CAP GROWTH FUND CLASS R4	BOSTON, MA	3/4/2011	00607376-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA LARGE CAP GROWTH FUND CLASS R5	BOSTON, MA	3/4/2011	00607384-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA MID CAP GROWTH FUND CLASS R5	BOSTON, MA	3/4/2011	00607382-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA REAL ESTATE EQUITY FUND CLASS R4	BOSTON, MA	3/4/2011	00607370-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA REAL ESTATE EQUITY FUND CLASS R5	BOSTON, MA	3/4/2011	00607371-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
COLUMBIA FUNDS SERIES TR I COLUMBIA STRATEGIC INCOME FUND CLASS R5	BOSTON, MA	3/4/2011	00607380-03	Registered
COLUMBIA FUNDS SERIES TR I COLUMBIA STRATEGIC INCOME FUND CLASS R4	BOSTON, MA	3/4/2011	00607374-03	Registered
EATON VANCE GROWTH TR EATON VANCE FOCUSED GROWTH OPPORTUNITIES FUND CLASS A SHARES	BOSTON, MA	3/4/2011	00607404-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE FOCUSED GROWTH OPPORTUNITIES FUND CLASS I SHARES	BOSTON, MA	3/4/2011	00607405-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE FOCUSED GROWTH OPPORTUNITIES FUND CLASS C SHARES	BOSTON, MA	3/4/2011	00607407-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE FOCUSED VALUE OPPORTUNITIES FUND CLASS I SHARES	BOSTON, MA	3/4/2011	00607408-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE FOCUSED VALUE OPPORTUNITIES FUND CLASS C SHARES	BOSTON, MA	3/4/2011	00607409-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE FOCUSED VALUE OPPORTUNITIES FUND CLASS A SHARES	BOSTON, MA	3/4/2011	00607406-03	Pending-Cleared
RIVERSOURCE BOND SERIES INC COLUMBIA INCOME OPPORTUNITIES FUND CLASS Y	MINNEAPOLIS, MN	3/4/2011	00607386-03	Registered
RIVERSOURCE INVESTMENT SERIES INC COLUMBIA LARGE VALUE QUANTITATIVE FUND CLASS T	MINNEAPOLIS, MN	3/4/2011	00607387-03	Registered
ROYCE FUND ROYCE GLOBAL DIVIDEND VALUE FUND SERVICE CLASS	NEW YORK, NY	3/4/2011	00607363-03	Registered
ROYCE FUND ROYCE SPECIAL EQUITY MULTI CAP FUND SERVICE CLASS	NEW YORK, NY	3/4/2011	00607362-03	Registered
SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 2 YR SERIES 2011 1	MONUMENT, CO	3/4/2011	00607342-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP GROWTH INDEX FUND CLASS A SHARES	NEW YORK, NY	3/4/2011	00607393-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP CORE INDEX FUND CLASS C SHARES	NEW YORK, NY	3/4/2011	00607401-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP VALUE INDEX FUND CLASS C SHARES	NEW YORK, NY	3/4/2011	00607395-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP DIVIDEND INDEX FUND CLASS C SHARES	NEW YORK, NY	3/4/2011	00607403-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP VALUE INDEX FUND CLASS F 1 SHARES	NEW YORK, NY	3/4/2011	00607390-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP GROWTH INDEX FUND CLASS F 1 SHARES	NEW YORK, NY	3/4/2011	00607398-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP DIVIDEND INDEX FUND CLASS I SHARES	NEW YORK, NY	3/4/2011	00607388-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP GROWTH INDEX FUND CLASS C SHARES	NEW YORK, NY	3/4/2011	00607396-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP DIVIDEND INDEX FUND CLASS A SHARES	NEW YORK, NY	3/4/2011	00607394-03	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP VALUE INDEX FUND CLASS A SHARES	NEW YORK, NY	3/4/2011	00607402-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP VALUE INDEX FUND CLASS I SHARES	NEW YORK, NY	3/4/2011	00607389-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP DIVIDEND INDEX FUND CLASS F 1 SHARES	NEW YORK, NY	3/4/2011	00607397-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP CORE INDEX FUND CLASS F 1 SHARES	NEW YORK, NY	3/4/2011	00607392-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP GROWTH INDEX FUND CLASS I SHARES	NEW YORK, NY	3/4/2011	00607400-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP CORE INDEX FUND CLASS A SHARES	NEW YORK, NY	3/4/2011	00607391-03	Registered
TRANSPARENT VALUE TR TRANSPARENT VALUE DOW JONES RBP US LARGE CAP CORE INDEX FUND CLASS I SHARES	NEW YORK, NY	3/4/2011	00607399-03	Registered
1ST TR COMBINED SERIES 353 TX EX MUNICIPAL INCOME TR SERIES 264	WHEATON, IL	3/3/2011	00607303-05	Pending-Cleared
FT 2829 HIGH DIVIDEND EQUITY PORTFOLIO SERIES 5	WHEATON, IL	3/3/2011	00607304-05	Pending-Cleared
FT 2847 INTEREST RATE HEDGE PORTFOLIO SERIES 27	WHEATON, IL	3/3/2011	00607302-05	Registered
FT 2891 CONVERTIBLE & INCOME SELECT CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	3/3/2011	00607301-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIO SERIES 766 CLOSED END INCOME & TREASURY LTD DURATION PORTFOLIO SERIES 11	LISLE, IL	3/3/2011	00607299-05	Pending-Cleared
SMART TR VALUE ARCHITECTS INNOVATION SCORE PORTFOLIO TR 2011 SERIES B	PARSIPPANY, NJ	3/3/2011	00607300-05	Pending-Cleared
FT 2825 BALANCED INCOME SELECT PORTFOLIO SERIES 19	WHEATON, IL	3/2/2011	00607250-05	Pending-Cleared
FT 2846 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 35	WHEATON, IL	3/2/2011	00607249-05	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL EQUITY INCOME FUND CLASS A	BOSTON, MA	3/2/2011	00607254-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL EQUITY INCOME FUND CLASS C	BOSTON, MA	3/2/2011	00607255-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL EQUITY INCOME FUND R2 CLASS	BOSTON, MA	3/2/2011	00607253-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL EQUITY INCOME FUND R5 CLASS	BOSTON, MA	3/2/2011	00607252-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL EQUITY INCOME FUND SELECT CLASS SHARES	BOSTON, MA	3/2/2011	00607251-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN TAX AWARE INCOME OPPORTUNITIES FUND CLASS C	BOSTON, MA	3/2/2011	00607257-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN TAX AWARE INCOME OPPORTUNITIES FUND CLASS A	BOSTON, MA	3/2/2011	00607256-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN TAX AWARE INCOME OPPORTUNITIES FUND SELECT CLASS	BOSTON, MA	3/2/2011	00607258-03	Pending-Cleared
JPMORGAN TR 2 JPMORGAN EQUITY INCOME FUND R2 CLASS	BOSTON, MA	3/2/2011	00607259-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
JPMORGAN TR 2 JPMORGAN EQUITY INCOME FUND R5 CLASS	BOSTON, MA	3/2/2011	00607260-03	Pending-Cleared
FT 2827 TECHNOLOGY SELECT PORTFOLIO SERIES 39	WHEATON, IL	3/1/2011	00607198-05	Pending-Cleared
FT2824 SIM BALANCED INCOME PORTFOLIO MAR 11 SERIES	WHEATON, IL	3/1/2011	00607199-05	Pending-Cleared
FT2845 HIGH YIELD INC CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	3/1/2011	00607197-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 764 GUGGENHEIM ABC HIGH DIVIDEND STRATEGY PORTFOLIO SERIES 5	LISLE, IL	3/1/2011	00607205-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 764 GUGGENHEIM BMAC COM MODITY PRODUCERS STRATEGY PORTFOLIO SERIES 5	LISLE, IL	3/1/2011	00607206-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 764 GUGGENHEIM GLOBAL TELECOM STRATEGY PORTFOLIO SERIES 5	LISLE, IL	3/1/2011	00607207-05	Pending-Cleared
MANAGERS AMG FUNDS TRILOGY EMERGING MARKETS EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	3/1/2011	00607191-03	Pending-Cleared
MANAGERS AMG FUNDS TRILOGY EMERGING MARKETS EQUITY FUND SERVICE CLASS	MILWAUKEE, WI	3/1/2011	00607192-03	Pending-Cleared
MANAGERS AMG FUNDS TRILOGY GLOBAL EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	3/1/2011	00607193-03	Pending-Cleared
MANAGERS AMG FUNDS TRILOGY GLOBAL EQUITY FUND SERVICE CLASS	MILWAUKEE, WI	3/1/2011	00607194-03	Pending-Cleared
MANAGERS AMG FUNDS TRILOGY INTERNATIONAL SMALL CAP FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	3/1/2011	00607195-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MANAGERS AMG FUNDS TRILOGY INTERNATIONAL SMALL CAP FUND SERV ICE CLASS	MILWAUKEE, WI	3/1/2011	00607196-03	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 960 INVESTMENT GRADE MUNICIPAL TR SERIES 119	OAKBROOK, IL	3/1/2011	00607202-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 961 INVESTMENT GRADE MUNICIPAL TRUST INTERMEDIATE SERIES 18	OAKBROOK, IL	3/1/2011	00607201-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 962 INVESTORS QUALIT Y TAX EXEMPT RR SERIES 137	OAKBROOK, IL	3/1/2011	00607200-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS TAXABLE INCOME SERIES 313 BUILD AMERICA BONDS INC TR 10-20 YR SERIES 29	OAKBROOK, IL	3/1/2011	00607204-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS, MUNICIPAL SERIES 959 INSURED MUNICIPALS INC TR SERIES 628	OAKBROOK, IL	3/1/2011	00607203-05	Pending-Cleared
VICTORY PORTFOLIOS FUND FOR INCOME CLASS I	COLUMBUS, OH	3/1/2011	00607281-03	Registered
VICTORY PORTFOLIOS LARGE CAP GROWTH FUND CLASS I	COLUMBUS, OH	3/1/2011	00607282-03	Registered
1ST AMERICAN INVESTMENT FUNDS INC NUVEEN TACTICAL MARKET OPPORTUNITIES FUND CLASS A	CHICAGO, IL	2/28/2011	00607564-03	Registered
1ST AMERICAN INVESTMENT FUNDS INC NUVEEN TACTICAL MARKET OPPORTUNITIES FUND CLASS C	CHICAGO, IL	2/28/2011	00607565-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE INTERNATIONAL MULTI MARKET LOCAL INCOME FUND CLASS C SHARES	BOSTON, MA	2/28/2011	00607568-03	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
EATON VANCE MUTUAL FUNDS TR EATON VANCE INTERNATIONAL MULTI MARKET LOCAL INCOME FUND CLASS I SHARES	BOSTON, MA	2/28/2011	00607569-03	Pending-Cleared
GABELLI SRI GREEN FUND INC CLASS C SHARES	RYE, NY	2/28/2011	00607570-03	Registered
HOTCHKISS & WILIEN FUNDS CAPITAL ICOME FUND CLASS A	MILWAUKEE, WI	2/28/2011	00607163-03	Pending-Cleared
HOTCHKISS & WILIEN FUNDS CAPITAL ICOME FUND CLASS I	MILWAUKEE, WI	2/28/2011	00607162-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA TS&W INTERNATIONAL EQUITY CLASS A SHARES	ST. PETERSBURG, FL	2/28/2011	00607567-03	Pending-Cleared
TRANSAMERICA FUNDS TRANSAMERICA TS&W INTERNATIONAL EQUITY CLASS C SHARES	ST. PETERSBURG, FL	2/28/2011	00607566-03	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 311 BUILD AMERICA BONDS INCOME TR SERIES 68	OAKBROOK, IL	2/28/2011	00607153-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 312 BUILD AMERICA BONDS INCOME TR SERIES 69	OAKBROOK, IL	2/28/2011	00607152-05	Pending-Cleared
Number of Investment Company Filings: 133				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
APPISTRY INC	ST LOUIS, MO	3/11/2011	00607637-07	Filed
GTCR CO INVEST 10 LP	CHICAGO, IL	3/11/2011	00607638-07	Filed
IBG LLC	GREENWICH, CT	3/11/2011	00607636-07	Filed
REG TECHNOLOGIES INC	RICHMOND BC Y7A 5E3,	3/9/2011	00607609-07	Filed
WAVELAND DRILLING PARTNERS 2010 A LP	IRVINE, CA	3/7/2011	00607572-07	Filed
APO HOLDINGS INC	GETTYSBURG, PA	3/4/2011	00607337-07	Filed
CYPRESS INCOME FUND 11 LLC	SAN FRANCISCO, CA	3/4/2011	00607339-07	Filed

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
CYPRESS LEASING FUND A LLC	SAN FRANCISCO, CA	3/4/2011	00607338-07	Filed
PETMATE HOLDINGS LLC	CHICAGO, IL	3/4/2011	00607343-07	Filed
GP RESOURCES LLC	LITTLETON, CO	3/3/2011	00607305-07	Filed
BLACK GOLD ASSETS LLC	SOUTHLAKE, TX	3/2/2011	00607264-07	Filed
CONFIDENT TECHNOLOGIES INC	SOLANA BEACH, CA	3/2/2011	00607261-07	Filed
HIGH THROUGHPUT GENOMICS INC	TUCSON, AZ	3/2/2011	00607262-07	Filed
SUMMIT AG FUND 1 LP	ALDEN, IA	3/2/2011	00607263-07	Filed
TX MT JOINT VENTURE	SAN ANTONIO, TX	2/28/2011	00607164-07	Filed
Number of Regulation D Notice Filings: 15				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Postal Instant Press, INc. / Postal Instant Press	Mission Viejo, CA	3/11/2011	601883	Registered
PROPERTY DAMAGE APPRAISERS INC	FORT WORTH, TX	3/11/2011	601882	Registered
ERC FRANCHISING, LLC / EXPENSE REDUCTION CONSULTING SINGLE UNIT/AREA DEVELOPMENT	SOUTHBURY, CT	3/10/2011	601876	Registered
ADVICOACH FRANCHISING, LLC / ADVICOACH SINGLE UNIT/AREA DEVELOPMENT	SOUTHBURY, CT	3/10/2011	601875	Registered
TES FRANCHISING, LLC / THE ENTREPRENEUR'S SOURCE SINGLE UNIT/AREA DEVELOPMENT	SOUTHBURY, CT	3/10/2011	601874	Registered
Business Partner Franchising, LLC / Business Partner One Stop Marketing Single Unit/Area Development	Southbury, CT	3/10/2011	601873	Registered
Snap Fitness, Inc. / Snap Fitness Club	Chanhassen, MN	3/9/2011 3	601872	Registered
HOLIDAY DIVERSIFIED SERVICES INC	MINNEAPOLIS, MN	3/9/2011	601878	Registered
ABCSP INC	ROSEVILLE, CA	3/8/2011	601866	Registered
ACCOR FRANCHISING NORTH AMERICA LLC / Studio 6	CARROLTON, TX	3/8/2011	601865	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
ACCOR FRANCHISING NORTH AMERICA LLC / Motel 6	CARROLTON, TX	3/8/2011	601862	Registered
AMERICINN INTERNATIONAL LLC	CHANHASSEN, MN	3/8/2011	601867	Registered
BRIGHTSTAR FRANCHISING LLC / BrightStar	Gurnee, IL	3/8/2011	601864	Registered
SEEK FRANCHISING LLC	GRAFTON, WI	3/8/2011	601863	Registered
MATHNASIUM CENTER LICENSING, LLC	LOS ANGELES, CA	3/7/2011	601861	Registered
MINUTEMAN PRESS INTERNATIONAL INC	FARMINGDALE, NY	3/7/2011	601860	Registered
PAK MAIL CENTERS OF AMERICA INC	CENTENNIAL, CO	3/4/2011	601858	Registered
PRIDESTAFF INC	FRESNO, CA	3/4/2011	601859	Registered
Da Vi Nails Salon and Spa, LLC	West Valley City, UT	3/3/2011 1	601847	Registered
VISION SOURCE LP	KINGWOOD, TX	3/3/2011 8	601844	Registered
7212186 Canada, Inc. / Team Makers	Montreal, QC	3/3/2011	601857	Registered
BELLA BRIDESMAID FRANCHISES LLC / Bella Bridesmaid	SAUSALITO, CA	3/3/2011	601853	Registered
CULLIGAN INTERNATIONAL CO	NORTHBROOK, IL	3/3/2011	601854	Registered
M&T PIZZA INC / Carbone's Pizza	ST PAUL, MN	3/3/2011	601852	Registered
PIRTEK USA LLC	ROCKLEDGE, FL	3/3/2011	601856	Registered
RE MAX NORTH CENTRAL INC	GREENWOOD VILLAGE, CO	3/3/2011	601855	Registered
UNITED SOCCER LEAGUES LLC	TAMPA, FL	3/2/2011 4	601841	Registered
HomeTask, Inc	Seattle, WA	3/2/2011 4	601840	Registered
FIBRENEW USA LTD	PRIDDIS AB, AB	3/2/2011	601843	Registered
HAPPY & HEALTHY PRODUCTS INC	BOCA ROTON, FL	3/2/2011	601842	Registered
POSTNET INTERNATIONAL FRANCHISE CORP	Denver, CO	3/2/2011	601839	Registered
Maid to Perfection Global, Inc. / Maid to Perfection	St. Cloud, FL	3/1/2011 4	601833	Registered
Olga;s Franchising, Inc.	Troy, MI	3/1/2011	601837	Registered
Pause International, LLC	Boulder, CO	3/1/2011	601838	Registered
WILD BIRD CENTERS OF AMERICA INC	GLEN ECHO, MD	3/1/2011	601836	Registered

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 2/28/2011 through 3/11/2011**

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Pizzeria Uno Corporation / Uno Chicago Grill and Uno Due Go	West Roxbury, MA	2/28/2011	601832	Registered
LEADING EDGE MARKETING INC	EARTH CITY, MO	2/28/2011	601834	Registered
Number of Franchise Filings: 37				

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