

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 4/25/2011 through 5/6/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AZTECA ACQUISITION CORP	BEVERLY HILLS, CA	5/4/2011	00611921-01	Pending
TRIO MERGER CORP	NEW YORK, NY	5/2/2011	00611851-01	Pending
SOLOMON FOUNDATION	ENGLEWOOD, CO	4/25/2011	00610221-02	Pending
SOLOMON FOUNDATION	ENGLEWOOD, CO	4/25/2011	00610220-02	Pending
Number of Registration Filings: 4				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
FORWARD COMMUNITY INVESTMENTS INC	MADISON, WI	5/4/2011	00611922-08	Pending
ST MARKS LUTHERAN CHURCH OF OLATHE KS INC	OLATHE, KS	4/25/2011	00610219-08	Pending
Number of Exemption Filings: 2				

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
BLUE CHIP COVERED CALL PORTFOLIO SERIES 2011 2Q	MONUMENT, CO	5/6/2011	00612003-05	Pending-Cleared
FT 2914 ALTERNATIVE ENERGY PORTFOLIO SERIES 18	WHEATON, IL	5/6/2011	00611999-05	Pending-Cleared
FT 2915 BICK PORTFOLIO SERIES 6	WHEATON, IL	5/6/2011	00612006-05	Pending-Cleared
FT 2917 UTILITIES SELECT PORTFOLIO SERIES 17	WHEATON, IL	5/6/2011	00612002-05	Pending-Cleared
FT 2922 MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 4	WHEATON, IL	5/6/2011	00612000-05	Pending-Cleared
FT 2949 MORNINGSTAR FIRST TR TAKE OUT TARGET PORTFOLIO SERIES	WHEATON, IL	5/6/2011	00612001-05	Pending-Cleared
FT 2970 LARGE CAP VALUE PORTFOLIO SERIES 18	WHEATON, IL	5/6/2011	00612007-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
GLOBAL GOLD INCOME PORTFOLIO SERIES 2011 2Q AN SMC PORTFOLIO	MONUMENT, CO	5/6/2011	00612004-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 739 GUGGENHEIM LONG TERM NATIONAL MUNICIPAL TR SERIES 2	LISLE, IL	5/6/2011	00611998-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 781 CLOSED END INFRASTRUCTURE & MLP PORTFOLIO SERIES 10	LISLE, IL	5/6/2011	00611996-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 781 CLOSED END NATIONAL MUNICIPAL PORTFOLIO SERIES 19	LISLE, IL	5/6/2011	00611995-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 781 CLOSED END SENIOR LOAN & INCOME PORTFOLIO SERIES 16	LISLE, IL	5/6/2011	00611993-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 781 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 20	LISLE, IL	5/6/2011	00611997-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 786 GLOBAL AGRICULTURE PORTFOLIO SERIES 11	LISLE, IL	5/6/2011	00612008-05	Pending-Cleared
SMART TR DIVERSIFIED DIVIDEND TR 2011 SERIES F	PARSIPPANY, NJ	5/6/2011	00611994-05	Pending-Cleared
STRATEGIC HIGH 80 DIVIDEND PORTFOLIO SERIES 2011 2Q	MONUMENT, CO	5/6/2011	00612005-05	Pending-Cleared
VAN KAMPEN UNIT TRS MUNICIPAL SERIES 983 INVESTORS QUALITY TAX EXEMPT TR SERIES 140	OAKBROOK, IL	5/6/2011	00611986-05	Pending-Cleared
VAN KAMPEN UNIT TRS SERIES 1108 ALTERNATIVES ALLOCATION PORTFOLIO 2011 2	OAKBROOK, IL	5/6/2011	00611987-05	Pending-Cleared
VAN KAMPEN UNIT TRS SERIES 1110 GLOBAL COMMUNITY PORTFOLIO SERIES 1	OAKBROOK, IL	5/6/2011	00611988-05	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
VAN KAMPEN UNIT TRS SERIES 1112 CONSERVATIVE INCOME ALLOCATION PORTFOLIO SERIES 8	OAKBROOK, IL	5/6/2011	00611989-05	Pending-Cleared
VAN KAMPEN UNIT TRS SERIES 1113 ETF ALLOCATION PORTFOLIO SERIES 7	OAKBROOK, IL	5/6/2011	00611991-05	Pending-Cleared
VAN KAMPEN UNIT TRS SERIES 1113 ETF DIVERSIFIED INCOME PORTFOLIO SERIES 5	OAKBROOK, IL	5/6/2011	00611990-05	Pending-Cleared
VAN KAMPEN UNIT TRS SERIES 1115 TECHNOLOGY PORTFOLIO 2011 3	OAKBROOK, IL	5/6/2011	00611992-05	Pending-Cleared
FT 2901 DIVERSIFIED INCOME & GROWTH PORTFOLIO SUMMER 2011 SERIES	WHEATON, IL	5/5/2011	00611967-05	Pending-Cleared
FT 2916 DEFENSIVE EQUITY PORTFOLIO SERIES 15	WHEATON, IL	5/5/2011	00611968-05	Pending-Cleared
FT 2954 REAL ESTATE CLOSED END PORTFOLIO SERIES 5	WHEATON, IL	5/5/2011	00611966-05	Pending-Cleared
JANUS INVESTMENT FUND JANUS VENTURE FUND CLASS A SHARES	DENVER, CO	5/5/2011	00611973-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS VENTURE FUND CLASS C SHARES	DENVER, CO	5/5/2011	00611974-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS VENTURE FUND CLASS I SHARES	DENVER, CO	5/5/2011	00611975-03	Pending-Cleared
JANUS INVESTMENT FUND JANUS VENTURE FUND CLASS S SHARES	DENVER, CO	5/5/2011	00611976-03	Pending-Cleared
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS C	CHICAGO, IL	5/5/2011	00611971-03	Registered
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS I	CHICAGO, IL	5/5/2011	00611970-03	Registered
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS R3	CHICAGO, IL	5/5/2011	00611972-03	Registered

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Firm Name	Location	Date Received	File Number	Status
NUVEEN INVESTMENT TR 3 NUVEEN SYMPHONY FLOATING RATE INCOME FUND CLASS A	CHICAGO, IL	5/5/2011	00611969-03	Registered
SECURITY EQUITY FUND MSCI EAFE EQUAL WEIGHT FUND INSTITUTIONAL SHARE CLASS	TOPEKA, KA	5/4/2011	00611940-03	Registered
SMART TR ENHANCED VALUE 2 TR 2011 SERIES E	PARSIPPANY, NJ	5/4/2011	00611920-05	Pending-Cleared
DIVIDEND ADVANTAGE PORTFOLIO SERIES 2011 2Q	MONUMENT, CO	5/3/2011	00611911-05	Pending-Cleared
FIRST TR COMBINED SERIES 363 BUILD AMERICA BONDS PORTFOLIO SERIES 34	WHEATON, IL	5/3/2011	00611912-05	Pending-Cleared
FT 2910 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 26	WHEATON, IL	5/3/2011	00611916-05	Pending-Cleared
FT 2911 EQUITY INCOME SELECT PORTFOLIO SERIES 27	WHEATON, IL	5/3/2011	00611915-05	Pending-Cleared
FT 2913 SMARTPHONE PORTFOLIO SERIES 5	WHEATON, IL	5/3/2011	00611913-05	Pending-Cleared
FT 2948 HIGH YIELD INCOME CLOSED END PORTFOLIO SERIES 40	WHEATON, IL	5/3/2011	00611914-05	Pending-Cleared
FT2912 MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 29	WHEATON, IL	5/3/2011	00611910-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 780 CLOSED END EQUITY & INCOME PORTFOLIO SERIES 29	LISLE, IL	5/3/2011	00611909-05	Pending-Cleared
INVESTMENT MANAGERS SERIES TR PALMER SQUARE ABSOLUTE RETURN FUND CLASS A	MILWAUKEE, WI	5/3/2011	00611907-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR PALMER SQUARE ABSOLUTE RETURN FUND CLASS I	MILWAUKEE, WI	5/3/2011	00611908-03	Pending-Cleared
SMA RELATIONSHIP TR SERIES G	BOSTON, MA	5/3/2011	00611905-03	Pending-Cleared
SMA RELATIONSHIP TR SERIES S	BOSTON, MA	5/3/2011	00611906-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
ALLIANCEBERNSTEIN CORPORATE SHARES ALLIANCEBERNSTEIN TAX AWARE REAL RETURN INCOME SHARES	NEW YORK, NY	5/2/2011	00611879-03	Registered
BLACKROCK FUNDS BLACKROCK CHINA FUND INSTITUTIONAL SHARES	WILMINGTON, DE	5/2/2011	00611887-03	Registered
BLACKROCK FUNDS BLACKROCK CHINA FUND INVESTOR A SHARES	WILMINGTON, DE	5/2/2011	00611883-03	Registered
BLACKROCK FUNDS BLACKROCK CHINA FUND INVESTOR C SHARES	WILMINGTON, DE	5/2/2011	00611885-03	Registered
BLACKROCK FUNDS BLACKROCK INDIA FUND INSTITUTIONAL SHARES	WILMINGTON, DE	5/2/2011	00611886-03	Registered
BLACKROCK FUNDS BLACKROCK INDIA FUND INVESTOR A SHARES	WILMINGTON, DE	5/2/2011	00611882-03	Registered
BLACKROCK FUNDS BLACKROCK INDIA FUND INVESTOR C SHARES	WILMINGTON, DE	5/2/2011	00611884-03	Registered
FIDELITY CONCORD STREET TR SPARTAN 500 INDEX FUND INSTITUTIONAL CLASS	BOSTON, MA	5/2/2011	00611889-03	Registered
FIDELITY CONCORD STREET TR SPARTAN 500 INDEX FUND FIDELITY ADVANTAGE INSTITUTIONAL CLASS	BOSTON, MA	5/2/2011	00611888-03	Registered
FIDELITY FIXED INCOME TR SPARTAN US BOND INDEX FUND INSTITUTIONAL CLASS	BOSTON, MA	5/2/2011	00611892-03	Registered
FIDELITY FIXED INCOME TR SPARTAN US BOND INDEX FUND FIDELITY ADVANTAGE CLASS	BOSTON, MA	5/2/2011	00611890-03	Registered
FIDELITY FIXED INCOME TR SPARTAN US BOND INDEX FUND FIDELITY ADVANTAGE INSTITUTIONAL CLASS	BOSTON, MA	5/2/2011	00611891-03	Registered
FT 2967 TACTICAL INCOME PORTFOLIO SERIES 5	WHEATON, IL	5/2/2011	00611854-05	Pending-Cleared
FUNDVANTAGE TR EIC VALUE FUND CLASS A	WILMINGTON, DE	5/2/2011	00611880-03	Registered
FUNDVANTAGE TR EIC VALUE FUND INSTITUTIONAL CLASS	WILMINGTON, DE	5/2/2011	00611881-03	Registered

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Firm Name	Location	Date Received	File Number	Status
HATTERAS ALTERNATIVE MUTUAL FUNDS TR ALPHA HEDGED STRATEGIES FUND CLASS A	MILWAUKEE, WI	5/2/2011	00611848-03	Pending-Cleared
HATTERAS ALTERNATIVE MUTUAL FUNDS TR HATTERAS HEDGED STRATEGIES FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/2/2011	00611847-03	Pending-Cleared
HATTERAS ALTERNATIVE MUTUAL FUNDS TR HATTERAS LONG SHORT DEBT FUND CLASS A	MILWAUKEE, WI	5/2/2011	00611845-03	Pending-Cleared
HATTERAS ALTERNATIVE MUTUAL FUNDS TR HATTERAS LONG SHORT EQUITY INSTITUTIONAL CLASS	MILWAUKEE, WI	5/2/2011	00611843-03	Pending-Cleared
HATTERAS ALTERNATIVE MUTUAL FUNDS TR HATTERAS LONG SHORT DEBT FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/2/2011	00611846-03	Pending-Cleared
HATTERAS ALTERNATIVE MUTUAL FUNDS TR HATTERAS LONG SHORT EQUITY CLASS A	MILWAUKEE, WI	5/2/2011	00611844-03	Pending-Cleared
LKCM FUNDS LKCM SMALL MIDCAP EQUITY FUND ADVISER CLASS	MILWAUKEE, WI	5/2/2011	00611850-03	Pending-Cleared
LKCM FUNDS LKCM SMALL MIDCAP EQUITY FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	5/2/2011	00611849-03	Pending-Cleared
ABERDEEN FUNDS ABERDEEN ASIA PACIFIC SMALLER CO FUND INSTITUTIONAL CLASS	COLUMBUS, OH	4/29/2011	00611954-03	Registered
ABERDEEN FUNDS ABERDEEN ASIA PACIFIC SMALLER CO FUND INSTITUTIONAL SERVICE CLASS	COLUMBUS, OH	4/29/2011	00611956-03	Registered
ABERDEEN FUNDS ABERDEEN ASIA PACIFIC SMALLER CO FUND CLASS A	COLUMBUS, OH	4/29/2011	00611952-03	Registered
ABERDEEN FUNDS ABERDEEN ASIA PACIFIC SMALLER CO FUND CLASS C	COLUMBUS, OH	4/29/2011	00611953-03	Registered

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Firm Name	Location	Date Received	File Number	Status
ABERDEEN FUNDS ABERDEEN ASIA PACIFIC SMALLER CO FUND CLASS R	COLUMBUS, OH	4/29/2011	00611955-03	Registered
FORWARD FUNDS FORWARD COMMODITY LONG SHORT STRATEGY FUND CLASS C	SAN FRANCISCO, CA	4/29/2011	00611809-03	Registered
FORWARD FUNDS FORWARD SELECT EM DIVIDEND FUND CLASS C	SAN FRANCISCO, CA	4/29/2011	00611810-03	Registered
FORWARD FUNDS FORWARD SELECT EM DIVIDEND FUND CLASS M	SAN FRANCISCO, CA	4/29/2011	00611811-03	Registered
FORWARD FUNDS FORWARD SELECT EM DIVIDEND FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	4/29/2011	00611812-03	Registered
FORWARD FUNDS FORWARD SELECT EM DIVIDEND FUND INVESTOR CLASS	SAN FRANCISCO, CA	4/29/2011	00611813-03	Registered
PIMCO FUNDS PIMCO SENIOR FLOATING RATE FUND CLASS A	NEWPORT BEACH, CA	4/29/2011	00611815-03	Registered
PIMCO FUNDS PIMCO SENIOR FLOATING RATE FUND CLASS C	NEWPORT BEACH, CA	4/29/2011	00611817-03	Registered
PIMCO FUNDS PIMCO SENIOR FLOATING RATE FUND CLASS D	NEWPORT BEACH, CA	4/29/2011	00611814-03	Registered
PIMCO FUNDS PIMCO SENIOR FLOATING RATE FUND CLASS P	NEWPORT BEACH, CA	4/29/2011	00611818-03	Registered
PIMCO FUNDS PIMCO SENIOR FLOATING RATE FUND CLASS R	NEWPORT BEACH, CA	4/29/2011	00611819-03	Registered
PIMCO FUNDS PIMCO SENIOR FLOATING RATE FUND INSTITUTIONAL CLASS	NEWPORT BEACH, CA	4/29/2011	00611816-03	Registered
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE EMERGING MARKETS LOCAL CURRENCY BOND FUND ADVISOR CLASS	BALTIMORE, MD	4/29/2011	00611797-03	Pending-Cleared
PRICE T ROWE INTERNATIONAL FUNDS INC PRICE T ROWE EMERGING MARKETS LOCAL CURRENCY BOND FUND	BALTIMORE, MD	4/29/2011	00611798-03	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
PRUDENTIAL INVESTMENT PORTFOLIOS 3 PRUDENTIAL JENNISON MARKET NEUTRAL FUND CLASS R	NEWARK, NJ	4/29/2011	00611808-03	Registered
CALVERT FUND CALVERT GOVERNMENT FUND CLASS I	BETHESDA, MD	4/28/2011	00610301-03	Pending-Cleared
EATON VANCE GROWTH TR EATON VANCE ATLANTA CAPITAL FOCUSED GROWTH FUND CLASS C SHARES	BOSTON, MA	4/28/2011	00611745-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE TAX MANAGED MID CAP CORE FUND CLASS I SHARES	BOSTON, MA	4/28/2011	00611741-03	Registered
FT 2947 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 18	WHEATON, IL	4/28/2011	00610299-05	Pending-Cleared
PIMCO EQUITY SERIES PIMCO EMERGING MULTI ASSET FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	4/28/2011	00611743-03	Registered
PIMCO EQUITY SERIES PIMCO EQS EMERGING MARKETS FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	4/28/2011	00611742-03	Registered
PIMCO FUNDS PIMCO CONVERTIBLE FUND CLASS A	NEWPORT BEACH, CA	4/28/2011	00611739-03	Registered
PIMCO FUNDS PIMCO CONVERTIBLE FUND CLASS C	NEWPORT BEACH, CA	4/28/2011	00611738-03	Registered
PIMCO FUNDS PIMCO CONVERTIBLE FUND CLASS D	NEWPORT BEACH, CA	4/28/2011	00611740-03	Registered
PIONEER SERIES TR 10 PIONEER ABSOLUTE RETURN CREDIT FUND CLASS C SHARES	BOSTON, MA	4/28/2011	00611748-03	Registered
PIONEER SERIES TR 10 PIONEER ABSOLUTE RETURN CREDIT FUND CLASS A SHARES	BOSTON, MA	4/28/2011	00611746-03	Registered
PIONEER SERIES TR 10 PIONEER ABSOLUTE RETURN CREDIT FUND CLASS Y SHARES	BOSTON, MA	4/28/2011	00611750-03	Registered
PIONEER SERIES TR 10 PIONEER MULTI ASSET FLOATING RATE FUND CLASS Y SHARES	BOSTON, MA	4/28/2011	00611751-03	Registered

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PIONEER SERIES TR 10 PIONEER MULTI ASSET FLOATING RATE FUND CLASS C SHARES	BOSTON, MA	4/28/2011	00611749-03	Registered
PIONEER SERIES TR 10 PIONEER MULTI ASSET FLOATING RATE FUND CLASS A SHARES	BOSTON, MA	4/28/2011	00611747-03	Registered
ROYCE FUND ROYCE GLOBAL VALUE FUND CONSULTANT CLASS	NEW YORK, NY	4/28/2011	00611744-03	Registered
TANAKA GROWTH FUND INC TGF	NEW YORK, NY	4/28/2011	00610300-03	Pending-Cleared
FT 2889 INCOME ALLOCATION CLOSED END MAY 11	WHEATON, IL	4/27/2011	00610271-05	Pending-Cleared
FT 2890 DOW TARGET 10 MAY 11 TERM 7 31 12	WHEATON, IL	4/27/2011	00610276-05	Pending-Cleared
FT 2890 DOW TARGET DVD MAY 11 TERM 7 31 12	WHEATON, IL	4/27/2011	00610275-05	Pending-Cleared
FT 2890 TARGET FOCUS 4 MAY 11 TERM 7 31 12	WHEATON, IL	4/27/2011	00610273-05	Pending-Cleared
FT 2890 TARGET TRIAD MAY 11 TERM 7 31 12	WHEATON, IL	4/27/2011	00610274-05	Pending-Cleared
FT 2890 TARGET VIP MAY 11 TERM 7 31 12	WHEATON, IL	4/27/2011	00610272-05	Pending-Cleared
FT 2950 INTEREST RATE HEDGE PORTFOLIO SERIES 31	WHEATON, IL	4/27/2011	00610277-05	Pending-Cleared
FT 2951 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 39	WHEATON, IL	4/27/2011	00610278-05	Pending-Cleared
ASHMORE FUNDS ASHMORE EMERGING MARKETS CORPORATE DEBT FUND CLASS C SHARES	LONDON, ENGLAND,	4/26/2011	00610251-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS CORPORATE DEBT FUND CLASS A SHARES	LONDON, ENGLAND,	4/26/2011	00610250-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS LOCAL CURRENCY BOND FUND CLASS C SHARES	LONDON, ENGLAND,	4/26/2011	00610256-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS LOCAL CURRENCY BOND FUND CLASS A SHARES	LONDON, ENGLAND,	4/26/2011	00610254-03	Registered

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ASHMORE FUNDS ASHMORE EMERGING MARKETS LOCAL CURRENCY FUND CLASS A SHARES	LONDON, ENGLAND,	4/26/2011	00610252-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS LOCAL CURRENCY FUND CLASS C SHARES	LONDON, ENGLAND,	4/26/2011	00610253-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS SOVEREIGN DEBT FUND CLASS C SHARES	LONDON, ENGLAND,	4/26/2011	00610255-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS SOVEREIGN DEBT FUND CLASS A SHARES	LONDON, ENGLAND,	4/26/2011	00610258-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS C SHARES	LONDON, ENGLAND,	4/26/2011	00610259-03	Registered
ASHMORE FUNDS ASHMORE EMERGING MARKETS TOTAL RETURN FUND CLASS A SHARES	LONDON, ENGLAND,	4/26/2011	00610257-03	Registered
ANGELS PORTFOLIO SERIES 2011 2Q	MONUMENT, CO	4/25/2011	00610165-05	Pending-Cleared
FIRST TR COMBINED SERIES 362 BUILD AMERICA BONDS PORTFOLIO SERIES 33	WHEATON, IL	4/25/2011	00610169-05	Pending-Cleared
FT 2908 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 29	WHEATON, IL	4/25/2011	00610167-05	Pending-Cleared
FT 2909 EQUITY CLOSED END PORTFOLIO SERIES 15	WHEATON, IL	4/25/2011	00610163-05	Pending-Cleared
FT 2944 DIVIDEND INCOME PLUS PORTFOLIO SERIES	WHEATON, IL	4/25/2011	00610164-05	Pending-Cleared
FT 2945 GLOBAL SHIPPING PORTFOLIO SERIES 14	WHEATON, IL	4/25/2011	00610162-05	Pending-Cleared
FT 2946 MARCELLUS SHALE PORTFOLIO SERIES	WHEATON, IL	4/25/2011	00610168-05	Pending-Cleared
GLOBAL INFLATION GROWTH PORTFOLIO SERIES 2011 1	MONUMENT, CO	4/25/2011	00610166-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 774 TECHNOLOGY PORTFOLIO SERIES 8	LISLE, IL	4/25/2011	00610161-05	Pending-Cleared

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GUGGENHEIM DEFINED PORTFOLIOS SERIES 775 GUGGENHEIM DEFENSIVE EQUITY PORTFOLIO SERIES 2	LISLE, IL	4/25/2011	00610158-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 775 GUGGENHEIM BULLISH EQUITY PORTFOLIO SERIES 2	LISLE, IL	4/25/2011	00610159-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 785 GLOBAL HIGH DIVIDEND & GROWTH BLUEPRINTS SELECT PORTFOLIO SERIES 1	LISLE, IL	4/25/2011	00610160-05	Pending-Cleared
MILLER INVESTMENT TRUST MILLER CONVERTIBLE FUND CLASS I SHARES	OMAHA, NE	4/25/2011	00610156-03	Pending-Cleared
SMART TR VALUE ARCHITECTS DISCIPLINED CORE PORTFOLIO TR 2011 SERIES D	PARSIPPANY, NJ	4/25/2011	00610157-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 978 QUALITY MUNICIPALS INCOME TR 40TH LIMITED MATURITY SERIES	OAKBROOK, IL	4/25/2011	00610178-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 979 QUALITY MUNICIPALS INCOME TR 41ST LIMITED MATURITY SERIES	OAKBROOK, IL	4/25/2011	00610177-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 980 INVESTMENT GRADE MUNICIPAL TR SERIES 124	OAKBROOK, IL	4/25/2011	00610176-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS MUNICIPAL SERIES 981 INVESTMENT GRADE MUNICIPAL TR SERIES 125	OAKBROOK, IL	4/25/2011	00610175-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS SERIES 1116 INFLATION HEDGE PORTFOLIO SERIES 1	OAKBROOK, IL	4/25/2011	00610170-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS TAXABLE INCOME SERIES 303 INVESTMENT GRADE INCOME TR 20+ YEAR SERIES 1	OAKBROOK, IL	4/25/2011	00610174-05	Pending-Cleared

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
VAN KAMPEN UNIT TRUSTS TAXABLE INCOME SERIES 319 BUILD AMERICA BONDS INCOME TR SERIES 74	OAKBROOK, IL	4/25/2011	00610173-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS TAXABLE INCOME SERIES 320 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 3	OAKBROOK, IL	4/25/2011	00610172-05	Pending-Cleared
VAN KAMPEN UNIT TRUSTS TAXABLE INCOME SERIES 321 INVESTMENT GRADE INCOME TR 10 20 YEAR SERIES 4	OAKBROOK, IL	4/25/2011	00610171-05	Pending-Cleared
Number of Investment Company Filings: 148				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
3R VENTURES LLC	WICHITA, KS	5/6/2011	00611985-07	Filed
CAVAN MANAGEMENT COMPANY LLC	SCOTTSDALE, AZ	5/6/2011	00611984-07	Filed
EAGLE RIVER CREDIT & EVENT FUND LP	NEW YORK, NY	5/5/2011	00611964-07	Filed
SHERMAN REAL ESTATE FUND 9 LLC	DEERFIELD, IL	5/5/2011	00611965-07	Filed
MIDDLEBURY VENTURES 2 LLC	RIDGEWOOD, NJ	5/4/2011	00611923-07	Filed
BELLE CAPITAL LIMITED PARTNERSHIP	GROSSE POINTE FARMS, MI	5/3/2011	00611902-07	Filed
REAGAN CHAMBERS 3 D JOINT VENTURE	SAN ANTONIO, TX	5/3/2011	00611904-07	Filed
IBG LLC	GREENWICH, CT	5/2/2011	00611903-07	Filed
PROPERTY DATA HOLDINGS LP	CAYMAN ISLANDS KY1 1104,	5/2/2011	00611842-07	Filed
2011 B BAYOU CITY TWO WELL DRILLING PROGRAM LP	BOWLING GREEN, KY	4/29/2011	00611795-07	Filed
LION ONE METALS LTD	VANCOUVER BC V7M 1B5,	4/29/2011	00611796-07	Filed
GEOOPTICS INC	PASEDNA, CA	4/28/2011	00610302-07	Filed
MEDEFILE INTERNATIONAL INC	BOCA RATON, FL	4/28/2011	00610303-07	Filed
TRI VALLEY CORP	BAKERSFIELD, CA	4/28/2011	00610304-07	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
18780 BAGLEY PROPERTIES LP	MIDDLEBURG HEIGHTS, OH	4/27/2011	00610279-07	Filed
NOVELOS THERAPEUTICS INC	NEWTON, MA	4/27/2011	00610280-07	Filed
NOBLE ROYALTY ACCESS FUND 10 LP	ADDISON, TX	4/26/2011	00610248-07	Filed
ZEPPELINN ENERGY LP	SAN ANTONIO, TX	4/26/2011	00610247-07	Filed
FCP FUND 2 LP	OMAHA, NE	4/25/2011	00610155-07	Filed
RUSHMORE CONSULTING GROUP LLC	NEW YORK, NY	4/25/2011	00610153-07	Filed
TRIWOOD CAPITAL CORP	CALGARY ALBERTA T3G 3T2,	4/25/2011	00610154-07	Filed
Number of Regulation D Notice Filings: 21				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Signal 88 Franchise Group, Inc. / Signal 88 Security	Omaha, NE	5/6/2011 1	602616	Registered
Coffee News USA, Inc. / Coffee News	Bangor, ME	5/4/2011 1	602614	Registered
Ram Jack Distribution Systems, LLC / Ram Jack Foundation Solutions	Ada, OK	5/4/2011 1	602612	Registered
SIT MEANS SIT FRANCHISE INC / SIT MEANS SIT	LAS VEGAS, NV	5/3/2011 6	602611	Registered
PRIMROSE SCHOOL FRANCHISING CO / PRIMROSE SCHOOLS	ACWORTH, GA	5/3/2011 2	602602	Registered
Bull Chicks Franchise, LLC / unit	Corpus Christi, TX	5/3/2011	602604	Registered
Bull Chicks Franchise, LLC / Developer	Corpus Christi, TX	5/3/2011	602603	Registered
DAEKYO AMERICA INC / E.nopi Learning Centers	HACKENSACK, NJ	5/3/2011	602610	Registered
Fairway Divorce Franchising, Inc.	Orem, UT	5/3/2011	602606	Registered
MAILCOUPS INC / SUPER COUPS	East Taunton, MA	5/3/2011	602609	Registered
NEXTAGE REALTY INTERNATIONAL LLC	JOHNS CREEK, GA	5/3/2011	602605	Registered
OILERIE USA INC	FISH CREEK, WI	5/3/2011	602608	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
Astral Health & Beauty, Inc. / ALOETTE	Atlanta, GA	5/2/2011 1	602528	Registered
BORDER MAGIC LLC	RANTOUL, IL	5/2/2011	602589	Registered
BurgerFi International, LLC	Delray Beach, FL	5/2/2011	602599	Registered
CHESTERS INTERNATIONAL LLC	BIRMINGHAM, AL	5/2/2011	602585	Registered
CURRENTSAFE CORP	PITTSBURGH, PA	5/2/2011	602574	Registered
Equitax, Inc.	NORCROSS, GA	5/2/2011	602582	Registered
FARRELLS EXTREME BODYSHAPING INC	WEST DES MOINES, IA	5/2/2011	602584	Registered
FirstLight HomeCare Franchising, LLC	Cincinnati, OH	5/2/2011	602578	Registered
GENERAL NUTRITION CORP / GNC	PITTSBURG, PA	5/2/2011	602530	Registered
GREEN MILL RESTAURANTS INC	ARDEN HILLS, MN	5/2/2011	602573	Registered
HARRIS RESEARCH INC / N-HANCE	LOGAN, UT	5/2/2011	602581	Registered
HARRIS RESEARCH INC / CHEM DRY	LOGAN, UT	5/2/2011	602577	Registered
Heits Building Services, Inc.	Hasbrouck Heights, NJ	5/2/2011	602586	Registered
KAMPGROUNDS OF AMERICA INC	BILLINGS, MT	5/2/2011	602588	Registered
MEDI WEGHTLOSS FRANCHISING USA LLC	TAMPA, FL	5/2/2011	602575	Registered
MENCHIES GROUP INC	ENCINO, CA	5/2/2011	602572	Registered
PASSPORT HEALTH INC	BALTIMORE, MD	5/2/2011	602591	Registered
PONDEROSA FRANCHISING CO	PLANO, TX	5/2/2011	602587	Registered
Shula Burger, LLC	Ft. Lauderdale, FL	5/2/2011	602593	Registered
SYLVAN LEARNING INC	BALTIMORE, MD	5/2/2011	602579	Registered
SYLVAN LEARNING INC / Ace It!	BALTIMORE, MD	5/2/2011	602576	Registered
Uptown Cheapskate, LLC / Uptown Cheapskate	Salt Lake City, UT	4/29/2011	602527	Registered
PETLAND INC	CHILLICOTHE, OH	4/29/2011	602526	Registered
AUTO DRIVEAWAY FRANCHISE SYSTEMS LLC	CHICAGO, IL	4/29/2011	602525	Registered
Hamburger Mary's International, LLC / Hamburger Mary's Bar and Grille	Chicago, IL	4/29/2011	602523	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
VALPAK DIRECT MARKETING SYSTEMS INC / VALPAK	LARGO, FL	4/29/2011	602522	Registered
Caring Senior Service Franchise Partnership, L.P. / Caring Senior Service	San Antonio, TX	4/29/2011	602521	Registered
AdvantaClean Systems, Inc.	Huntersville, NC	4/29/2011	602547	Registered
BROTHERS FRANCHISING & DEVELOPMENT LLC	LA CROSSE, WI	4/29/2011	602533	Registered
BURGER KING CORP	MIAMI, FL	4/29/2011	602553	Registered
CARTRIDGE DEPOT LLC	OWINGS MILLS, MD	4/29/2011	602548	Registered
CHECKERS DRIVE IN RESTAURANTS INC	TAMPA, FL	4/29/2011	602550	Registered
CHICAGO FRANCHISE SYSTEMS INC	TINLEY PARK, IL	4/29/2011	602536	Registered
COUNSELOR REALTY FRANCHISING INC	SPRING LAKE PARK, MN	4/29/2011	602549	Registered
DUNN BROTHERS COFFEE FRANCHISING INC	MINNEAPOLIS, MN	4/29/2011	602561	Registered
E & G FRANCHISE SYSTEMS INC / Erbert & Gerbert's Subs & Clubs	EAU CLAIRE, WI	4/29/2011	602570	Registered
EDIBLE ARRANGEMENTS INTERNATIONAL INC	WILLINGFORD, CT	4/29/2011	602564	Registered
FRANLINK INC	HOUSTON, TX	4/29/2011	602555	Registered
GLOBAL RECRUITERS NETWORK INC / GRN Global Recruiters	DOWNERS GROVE, IL	4/29/2011	602538	Registered
GREASE MONKEY FRANCHISING LLC	GREENWOOD VILLAGE, CO	4/29/2011	602571	Registered
GWB ENTERPRISES INC	EAU CLAIRE, WI	4/29/2011	602569	Registered
Health One Management Company / UVANTA Healthcare	Appleton, WI	4/29/2011	602554	Registered
JENNY CRAIG FRANCHISING LLC	CARLSBAD, CA	4/29/2011	602565	Registered
JET BLACK INTERNATIONAL INC	EAGAN, MN	4/29/2011	602568	Registered
Jet's America, Inc.	Sterling Heights, MI	4/29/2011	602541	Registered
JOHNSEN RE LLC / Jan-Pro of Milwaukee	WEST ALLIS, WI	4/29/2011	602566	Registered
KELLER WILLIAMS REALTY INC / Keller Williams Realty - Market Center	AUSTIN, TX	4/29/2011	602539	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
KELLER WILLIAMS REALTY INC / Regional Representative	AUSTIN, TX	4/29/2011	602552	Registered
Lou Mitchell's Franchise, LLC	Chicago, IL	4/29/2011	602532	Registered
MAIL BOXES ETC INC / The UPS Store	SAN DIEGO, CA	4/29/2011	602534	Registered
MAIL BOXES ETC INC / Non Traditional	SAN DIEGO, CA	4/29/2011	602535	Registered
Orange Leaf Holdings, LLC	Oklahoma City, OK	4/29/2011	602562	Registered
PARISI FRANCHISE SYSTEMS INC	WYCKOFF, NJ	4/29/2011	602563	Registered
POTBELLY FRANCHISING LLC	CHICAGO, IL	4/29/2011	602551	Registered
PSP Franchising, LLC / Pet Supplies "Plus"	Farmington Hills, MI	4/29/2011	602567	Registered
REAL LIVING REAL ESTATE, LLC	COLUMUS, OH	4/29/2011	602537	Registered
SEARS HOME & BUSINESS FRANCHISES, INC. / Sears Hardwood Floor services	Lewis Center, OH	4/29/2011	602558	Registered
SEARS HOME & BUSINESS FRANCHISES, INC. / Sears Air Duct Cleaning	Lewis Center, OH	4/29/2011	602559	Registered
SEARS HOME & BUSINESS FRANCHISES, INC. / Sears Garage Door	HOFFMAN ESTATES, IL	4/29/2011	602560	Registered
SEARS HOME & BUSINESS FRANCHISES, INC. / Carpet Cleaning Franchise Program	Lewis Center, OH	4/29/2011	602557	Registered
SEARS HOME APPLIANCE SHOWROOMS, LLC / Sears Home Appliance Showrooms	HOFFMAN ESTATES, IL	4/29/2011	602556	Registered
SEARS HOME APPLIANCE SHOWROOMS, LLC / Sears Appliance & Hardware Store fka Sears Hardware Store	HOFFMAN ESTATES, IL	4/29/2011	602546	Registered
SUNSET TAN FRANCHISING LP	LAS VEGAS, NV	4/29/2011	602540	Registered
Topper's Pizza, Inc. / Toppers Pizza	Whitewater, WI	4/29/2011	602583	Registered
Welcomemat Franchising, LLC	Atlanta, GA	4/29/2011	602545	Registered
WHISKEY CREEK FRANCHISE SYSTEMS LLC	KEARNEY, NE	4/29/2011	602531	Registered
WINGSTOP RESTAURANTS INC	RICHARDSON, TX	4/29/2011	602529	Registered
SUPERAMERICA FRANCHISING LLC	Ridgefield, CT	4/28/2011	602514	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
EXIT Realty Corp. USA	Woburn, MA	4/28/2011	602490	Registered
AUTOMOTIVE TECHNOLOGIES INC / WIRELESS ZONE	MIDDLETON, CT	4/28/2011	602506	Registered
Black Bear Diners, Inc.	Redding, CA	4/28/2011	602505	Registered
DOCTORS ASSOC INC / Subway	PLANTATION, FL	4/28/2011	602511	Registered
FAITH FRANCHISING CO INC	FRANKLIN, IN	4/28/2011	602503	Registered
FASTSIGNS INTERNATIONAL INC / FASTSIGNS	CARROLLTON, TX	4/28/2011	602513	Registered
HOMEWATCH INTERNATIONAL INC	GREENWOOD VILLAGE, CA	4/28/2011	602512	Registered
INTEGRA REALTY RESOURCES INC	NEW YORK, NY	4/28/2011	602509	Registered
LUBEPROS INTERNATIONAL INC	CHERRY VALLEY, IL	4/28/2011	602517	Registered
RAPID REFILL CORP	CHANHASSEN, MN	4/28/2011	602507	Registered
RETROFITNESS LLC	COLTS NECK, NJ	4/28/2011	602502	Registered
SUPER WASH INC	MORRISON, IL	4/28/2011	602516	Registered
Touch Up Guys (USA) Franchising, LLC / Touch Up Guys	Scottsdale, AZ	4/28/2011	602504	Registered
UNIGLOBE TRAVEL USA LLC / Corporate Agency Program	Irvine, CA	4/28/2011	602510	Registered
UNIGLOBE TRAVEL USA LLC / Conversion/V Program	Irvine, CA	4/28/2011	602515	Registered
UNIGLOBE TRAVEL USA LLC / InHouse Program	Irvine, CA	4/28/2011	602518	Registered
WOODHOUSE SPAS CORP	VICTORIA, TX	4/28/2011	602508	Registered
Lil' Kickers LLC	Redmond, WA	4/27/2011	602489	Registered
GOOD FEET WRLDWIDE LLC	CARLSBAD, CA	4/27/2011	602496	Registered
HUNGRY HOWIES PIZZA & SUBS INC	MADISON HEIGHTS, MI	4/27/2011	602493	Registered
LIL ANGELS LLC	MEMPHIS, TN	4/27/2011	602495	Registered
NEXTAGE REALTY INTERNATIONAL LLC	JOHNS CREEK, GA	4/27/2011	602494	Registered
PRO 1 JANITORIAL INC	Green Bay, WI	4/27/2011	602500	Registered
ROCKSOLID GRANIT USA INC / Granite Transformation	Miramar, FL	4/27/2011	602498	Registered
Sky Zone Franchise Group, LLC / Sky Zone	Chesterfield, MO	4/27/2011	602501	Registered
STRENGTHTIME LLC	Winnetka, IL	4/27/2011	602497	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
WHEEL REPAIR SOLUTIONS INTERNATIONAL INC / Alloy Wheel Repair Specialists	NORCROSS, GA	4/27/2011	602492	Registered
ZIOS ITALIAN KITCHEN FRANCHISING LLC	SAN ANTONIO, TX	4/27/2011	602499	Registered
Worldwide Refinishing Systems, Inc. / DreamMaker Bath & Kitchen by Worldwide	Waco, TX	4/26/2011	602471	Registered
House of Speed Franchising, LLC / House of Speed/Unit	Aurora, IL	4/26/2011	602462	Registered
Charter Practices International, LLC / Banfield The Pet Hospital	Portland, OR	4/26/2011	602484	Registered
Newk's Franchise Company LLC	Jackson, MS	4/26/2011	602481	Registered
NORMAN MERLE COSMETICS INC / MERLE NORMAN COSMETICS INC	LOS ANGELES, CA	4/26/2011	602491	Registered
SCHOOL OF ROCK FRANCHISING LLC / SCHOOL OF ROCK	TEANECK, NJ	4/26/2011	602482	Registered
STORM GUARD FRANCHISE SYSTEMS, LLC	OAKDALE, MN	4/26/2011	602483	Registered
SHELFGENIE FRANCHISE SYSTEMS LLC / SHELFGENIE	MARIETTA, GA	4/25/2011	602459	Registered
The Extreme Pita Franchising USA, Inc. / Extreme Pita	Phoenix, AZ	4/25/2011	602457	Registered
911 FRANCHISING CORP / 911 Driving School	PUYALLUP, WA	4/25/2011	602464	Registered
AMRAMP LLC	SOUTH BOSTON, MA	4/25/2011	602472	Registered
BARKLEY VENTURES INC	OAKLAND PARK, FL	4/25/2011	602465	Registered
CANYONS BURGER FRANCHISING LLC	CYPRESS, CA	4/25/2011	602479	Registered
Chutney Joe's LLC	Chicago, IL	4/25/2011	602466	Registered
FILTA GROUP INC	ORLANDO, FL	4/25/2011	602470	Registered
FRESHII DEVELOPMENT LLC	TORONTO ONTARIO, ON	4/25/2011	602473	Registered
GUESTHOUSE INTERNATIONAL LLC	HENDERSONVILLE, TN	4/25/2011	602469	Registered
KID TO KID FRANCHISE SYSTEM INC	SALT LAKE CITY, UT	4/25/2011	602480	Registered
MINT CONDITION FRANCHISING INC	FORT MILL, SC	4/25/2011	602478	Registered
Monkee's LLC	Winston-Salem, NC	4/25/2011	602468	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
SETTLE INN LLC	ABERDEEN, SD	4/25/2011	602463	Registered
SIGNS BY TOMORROW USA INC	COLUMBIA, MD	4/25/2011	602475	Registered
VERLO MATTRESS FACTORY STORES LLC	FORT ATKINSON, WI	4/25/2011	602476	Registered
WINGS ETC INC	FORT WAYNE, IN	4/25/2011	602477	Registered
WORLDWIDE EXPRESS OPERATIONS LLC	DALLAS, TX	4/25/2011	602467	Registered
Number of Franchise Filings: 133				

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