

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/3/2011 through 10/14/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MILE HI CHURCH OF RELIGIOUS SCIENCE	LAKEWOOD, CO	10/5/2011	00621279-02	Pending
Number of Registration Filings: 1				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
YOUNG MENS CHRISTIAN ASSOC AT PABST FARMS INC	OCONOMOWOC, WI	10/3/2011	00621163-08	Pending
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
PIMCO FUNDS PIMCO GLOBAL MULTI ASSET FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	10/13/2011	00621962-03	Registered
GAMCO INTERNATIONAL GROWTH FUND INC CLASS C SHARES	RYE, NY	10/7/2011	00621292-03	Registered
HARDING LOEVNER FUNDS INC INTERNATIONAL SMALL CO PORTFOLIO INSTITUTIONAL CLASS	SOMERVILLE, NJ	10/7/2011	00621293-03	Registered
ABERDEEN FUNDS ABERDEEN US EQUITY 2 FUND CLASS A	PHILADELPHIA, PA	10/6/2011	00621275-03	Registered
ABERDEEN FUNDS ABERDEEN US EQUITY 2 FUND CLASS C	PHILADELPHIA, PA	10/6/2011	00621274-03	Registered
ABERDEEN FUNDS ABERDEEN US EQUITY 2 FUND CLASS R	PHILADELPHIA, PA	10/6/2011	00621272-03	Registered
ABERDEEN FUNDS ABERDEEN US EQUITY 2 FUND INSTITUTIONAL SERVICE CLASS	PHILADELPHIA, PA	10/6/2011	00621271-03	Registered
ABERDEEN FUNDS ABERDEEN US EQUITY 2 FUND INSTITUTIONAL CLASS	PHILADELPHIA, PA	10/6/2011	00621273-03	Registered

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Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 826 CORPORATE HIGH YIELD & INCOME PORTFOLIO OF CEFS 15 MONTH SERIES 20	LISLE, IL	10/6/2011	00621277-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 826 SENIOR LOAN & YIELD & INCOME PORTFOLIO OF CEFS 15 MONTH SERIES 20	LISLE, IL	10/6/2011	00621278-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 826 STRATEGIC INCOME PORTFOLIOS 15 MONTH SERIES 56	LISLE, IL	10/6/2011	00621276-05	Pending-Cleared
1ST TR COMBINED SERIES 381 BUILD AMERICA BONDS PORTFOLIO SERIES 43	WHEATON, IL	10/5/2011	00621198-05	Pending-Cleared
BLACKROCK FUNDS BLACKROCK EMERGING MARKETS LONG SHORT EQUITY FUND INVESTOR C SHARES	WILMINGTON, DE	10/5/2011	00621225-03	Registered
BLACKROCK FUNDS BLACKROCK EMERGING MARKETS LONG SHORT EQUITY FUND INSTITUTIONAL SHARES	WILMINGTON, DE	10/5/2011	00621226-03	Registered
BLACKROCK FUNDS BLACKROCK EMERGING MARKETS LONG SHORT EQUITY FUND INVESTOR A SHARES	WILMINGTON, DE	10/5/2011	00621224-03	Registered
FT 3166 60/40 STRATEGIC ALLOCATION PORT 4Q 11 TERM 1/16/13	WHEATON, IL	10/5/2011	00621196-05	Pending-Cleared
FT 3166 75/25 STRATEGIC ALLOCATION PORT 4Q 11 TERM 1/16/13	WHEATON, IL	10/5/2011	00621195-05	Pending-Cleared
FT 3170 HEALTH CARE SELECT PORTFOLIO SERIES 22	WHEATON, IL	10/5/2011	00621197-05	Pending-Cleared
FT 3228 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 31	WHEATON, IL	10/5/2011	00621199-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
NORTHERN LIGHTS FUND TR 2 HUNDREDFOLD SELECT ALTERNATIVE FUND SERVICE SHARES	HAUPPAUGE, NY	10/5/2011	00621270-03	Pending-Cleared
NORTHERN LIGHTS FUND TR 2 HUNDREDFOLD SELECT EQUITY FUND SERVICE CLASS	HAUPPAUGE, NY	10/5/2011	00621269-03	Pending-Cleared
NORTHERN LIGHTS FUND TR 2 HUNDREDFOLD SELECT GLOBAL FUND SERVICE CLASS	HAUPPAUGE, NY	10/5/2011	00621268-03	Registered
PRINCIPAL FUNDS INC GLOBAL MULTI STRATEGY FUND CLASS A	DES MOINES, IA	10/5/2011	00621093-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL MULTI STRATEGY FUND CLASS P	DES MOINES, IA	10/5/2011	00621095-03	Pending-Cleared
PRINCIPAL FUNDS INC GLOBAL MULTI STRATEGY FUND INSTITUTIONAL CLASS	DES MOINES, IA	10/5/2011	00621094-03	Pending-Cleared
FT 3163 MERGER & ACQUISITION PORTFOLIO SERIES 9	OAKBROOK, IL	10/4/2011	00621185-05	Pending-Cleared
ICON FUNDS ICON HEALTHCARE FUND CLASS C SHARES	GREENWOOD VILLAGE, CO	10/4/2011	00621186-03	Registered
ICON FUNDS ICON MATERIALS FUND CLASS C SHARES	GREENWOOD VILLAGE, CO	10/4/2011	00621187-03	Registered
1ST PACIFIC MUTUAL FUND INC 1ST PACIFIC LOW VOLATILITY FUND INVESTOR CLASS	HONOLULU, HI	10/3/2011	00620060-03	Registered
BALANCED PORTFOLIO SERIES 2011-2	MONUMENT, CO	10/3/2011	00621147-05	Pending-Cleared
BPV FAMILY OF FUNDS BPV CORE DIVERSIFICATION FUND	KNOXVILLE, TN	10/3/2011	00620057-03	Registered
BPV FAMILY OF FUNDS BPV WEALTH PRESERVATION FUND	KNOXVILLE, TN	10/3/2011	00620058-03	Registered
CORTINA FUNDS INC CORTINA SMALL CAP GROWTH FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/3/2011	00620053-03	Registered

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Firm Name	Location	Date Received	File Number	Status
CORTINA FUNDS INC CORTINA SMALL CAP VALUE FUND INSTITUTIONAL SHARES	MILWAUKEE, WI	10/3/2011	00620054-03	Registered
FT 3158 REIT GROWTH & INCOME SELECT PORTFOLIO SERIES 17	WHEATON, IL	10/3/2011	00621159-05	Pending-Cleared
FT 3159 MUNICIPAL INCOME CLOSED-END PORTFOLIO SERIES 42	WHEATON, IL	10/3/2011	00621153-05	Pending-Cleared
FT 3160 CLOUD COMPUTING PORTFOLIO SERIES 4	WHEATON, IL	10/3/2011	00621162-05	Pending-Cleared
FT 3161 HIGH-YIELD CLOSED- END & SHORT TREASURY ETF PORTFOLIO SERIES 3	WHEATON, IL	10/3/2011	00621158-05	Pending-Cleared
FT 3162 GLOBAL INFRASTRUCTURE PORTFOLIO SERIES 18	WHEATON, IL	10/3/2011	00621151-05	Pending-Cleared
FT 3164 PRECIOUS METALS SELECT PORTFOLIO SERIES 25	WHEATON, IL	10/3/2011	00621156-05	Pending-Cleared
FT 3183 ETF GROWTH & INCOME OCT. '11	WHEATON, IL	10/3/2011	00621155-05	Pending-Cleared
FT 3184 GLOBAL GORILLAS PORTFOLIO SERIES	WHEATON, IL	10/3/2011	00621154-05	Pending-Cleared
FT 3187 INVESTMENT GRADE SELECT CLOSED-END PORTFOLIO SERIES 26	WHEATON, IL	10/3/2011	00621161-05	Pending-Cleared
FT 3188 TX ADVANTAGE MUNICIPAL CLOSED-END PORTFOLIO SERIES 20	WHEATON, IL	10/3/2011	00621160-05	Pending-Cleared
FT 3191 DIVIDEND & INCOME SELECT CLOSED-END PORTFOLIOS SERIES 19	WHEATON, WI	10/3/2011	00621150-05	Pending-Cleared
FT 3192 MUNICIPAL INCOME OPPORTUNITIES CLOSED- END PORTFOLIO SERIES 6	WHEATON, IL	10/3/2011	00621149-05	Pending-Cleared
FT 3193 MUNICIPAL INCOME PLUS CLOSED-END PORTFOLIO SERIES 20	WHEATON, IL	10/3/2011	00621157-05	Pending-Cleared
FT 3227 STRATEGIC INCOME PLUS CLOSED-END PORTFOLIO SERIES 34	WHEATON, IL	10/3/2011	00621148-05	Pending-Cleared
HIGHLAND FUNDS 2 HIGHLAND TREND FOLLOWING FUND CLASS C SHARES	DALLAS, TX	10/3/2011	00620055-03	Registered

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Firm Name	Location	Date Received	File Number	Status
HIGHLAND FUNDS 2 HIGHLAND TREND FOLLOWING FUND CLASS Y SHARES	DALLAS, TX	10/3/2011	00620056-03	Registered
KEELEY FUNDS INC KEELEY MID CAP DIVIDEND VALUE FUND CLASS A	MILWAUKEE, WI	10/3/2011	00621165-03	Pending-Cleared
KEELEY FUNDS INC KEELEY MID CAP DIVIDEND VALUE FUND CLASS I	MILWAUKEE, WI	10/3/2011	00621164-03	Pending-Cleared
MANAGERS TR 1 MANAGERS MICRO-CAP FUND INSTITUTIONAL CLASS	MILWAUKEE, WI	10/3/2011	00621166-03	Registered
METROPOLITAN WEST FUNDS METROPOLITAN WEST UNCONSTRAINED BOND FUND CLASS I SHARES	LOS ANGELES, CA	10/3/2011	00620061-03	Registered
METROPOLITAN WEST FUNDS METROPOLITAN WEST UNCONSTRAINED BOND FUND CLASS M SHARES	LOS ANGELES, CA	10/3/2011	00620062-03	Registered
STRATEGIC HIGH 50/Q-50 DIVIDEND & GROWTH PORTFOLIO SERIES 2011-4Q	MONUMENT, CO	10/3/2011	00621152-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1021 INSURED MUNICIPALS INCOME TR SERIES 636	OAKBROOK, IL	10/3/2011	00621173-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1022 INSURED MUNICIPALS INCOME TR SERIES 637	OAKBROOK, IL	10/3/2011	00621174-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1023 INVESTMENT GRADE MUNICIPAL TRUST SERIES 135	OAKBROOK, IL	10/3/2011	00621175-05	Pending-Cleared
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1024 QUALITY MUNICIPALS INCOME TR 50TH LTD MATURITY SERIES	OAKBROOK, IL	10/3/2011	00621176-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1161 SELECT 10 INDUSTRIAL PORTFOLIO 2011-6	OAKBROOK, IL	10/3/2011	00621177-05	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 TR SERIES 1162 DIVERSIFIED HEALTHCARE PORTFOLIO SERIES 57	OAKBROOK, IL	10/3/2011	00621181-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 ENERGY PORTFOLIO SERIES 40	OAKBROOK, IL	10/3/2011	00621182-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 FINANCIAL INSTITUTIONS PORTFOLIO SERIES 52	OAKBROOK, IL	10/3/2011	00621183-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 REIT INCOME PORTFOLIO 2011-4	OAKBROOK, IL	10/3/2011	00621180-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1162 UTILITY INCOME PORTFOLIO INCOME TR SERIES 637	OAKBROOK, IL	10/3/2011	00621184-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1163 GLOBAL COMMODITY PORTFOLIO SERIES 3	OAKBROOK, IL	10/3/2011	00621178-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1164 DOW JONES LARGE CAP GROWTH STRATEGY 2011-4	OAKBROOK, IL	10/3/2011	00621179-05	Pending-Cleared
VERICIMETRY FUNDS VERICIMETRY US SMALL CAP VALUE FUND	LOS ANGELES, CA	10/3/2011	00621171-03	Pending-Cleared
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE ENTERPRISE FUND CLASS B	SAN FRANCISCO, CA	10/3/2011	00620059-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE OPPORTUNITY FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	10/3/2011	00620052-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE OPPORTUNITY FUND CLASS B	SAN FRANCISCO, CA	10/3/2011	00620051-03	Registered
Number of Investment Company Filings: 72				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMS HOLDINGS LLC	WAUKESHA, WI	10/11/2011	00621944-07	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
CARTHAGE ASSOC LLC	LOS ANGELES, CA	10/11/2011	00621946-07	Filed
MUTUAL ENTERTAINMENT LLC	BEVERLY HILLS, CA	10/11/2011	00621945-07	Filed
DEL REY INSTITUTIONAL INVESTMENT TR DRI INTERNATIONAL EQUITY PORTFOLIO	LOS ANGELES, CA	10/6/2011	00621281-07	Filed
EXCELERARX LLC	MINNEAPOLIS, MN	10/6/2011	00621280-07	Filed
HOUSTON COUNTY 2 VERTICAL WELL PROGRAM	GARLAND, TX	10/6/2011	00621282-07	Filed
IRONWOOD MEZZANINE FUND 3 LP	AVON, CT	10/6/2011	00621284-07	Filed
SMC EXECUTIVE INVESTORS LP	BRIARCLIFF MANOR, NY	10/6/2011	00621283-07	Filed
BUTTONWOOD SOCIAL NETWORK QP FUND LLC	NEW YORK, NY	10/5/2011	00621189-07	Filed
MICROPHAGE INC	LONGMONT, CO	10/5/2011	00621191-07	Filed
MICROPHAGE INC	LONGMONT, CO	10/5/2011	00621192-07	Filed
STRATEGIC ENERGY INCOME FUND 2 LP	GETZVILLE, NY	10/5/2011	00621190-07	Filed
IBG LLC	GREENWICH, CT	10/4/2011	00621188-07	Filed
US ENERGY CORP	CLEARWATER, FL	10/4/2011	00621172-07	Filed
COMMUNITY HOSPICE GROUP LLC	GLOBE, AZ	10/3/2011	00621145-07	Filed
PENNECO DRILLING ASSOC 2011 1	DELMONT, PA	10/3/2011	00621146-07	Filed
US PREVENTIVE MEDICINE INC	MCKINNEY, TX	10/3/2011	00621144-07	Filed
Number of Regulation D Notice Filings: 17				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
BFK Franchise Company, LLC / Bricks 4 Kidz	St.Augustine, FL	10/14/2011	603119	Registered
COFFEE BEANERY LTD	FLUSHING, MI	10/12/2011	603118	Registered
CBD FRANCHISING INC	CYPRESS, CA	10/11/2011	603116	Registered
Hickory River Smokehouse, Inc.	Tipp City, OH	10/11/2011	603117	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
fro.zen.yo Franchising, LLC	Washington, DC	10/10/2011	603113	Registered
AERUS FRANCHISING, LLC	DALLAS, TX	10/7/2011	603106	Registered
Family Financial Centers, LLC / Family Financial Centers	Doylestown, PA	10/7/2011	603105	Registered
Freedom Franchise Systems, LLC / Freedom Boat Club	Venice, FL	10/7/2011	603109	Registered
LINE X FRANCHISING LLC	SANTA ANA, CA	10/7/2011	603108	Registered
MERLINS FRANCHISING INC	GENEVA, IL	10/7/2011	603115	Registered
ZIEBART CORP	TROY, MI	10/7/2011	603107	Registered
MMI Peer Advisory Services, LLC / Inner Circle	INDEPENDENCE, OH	10/6/2011	603102	Registered
US LAWNS INC	ORLANDO, FL	10/6/2011	603104	Registered
ANY TEST FRANCHISING INC / ANY LAB TEST NOW	ALPHARETTA, GA	10/5/2011	603089	Registered
Bonchon Franchise, LLC	New York, NY	10/5/2011	603096	Registered
TGA premier junior tennis franchise, llc	El Sugundo, CA	10/5/2011	603095	Registered
THE BROTHERS THREE PIZZA FRANCHISE CORPORATION / The Brothers Three Pizza	Marinette, WI	10/4/2011	603088	Registered
InShape MD Franchising, LLC. / InShape MD Weight Loss Clinic	Duluth, GA	10/4/2011	603087	Registered
Red's Savoy Franchise, LLC / The Original Red's Savoy Pizza	Minneapolis, MN	10/4/2011	603100	Registered
RMIT INC / Regional	VALPARAISO, IN	10/4/2011	603098	Registered
RMIT INC / Individual	VALPARAISO, IN	10/4/2011	603099	Registered
Smart Betty US Ltd.	Mississauga, ON	10/4/2011	603090	Registered
The Two Bucks of America LLC / Two Bucks	Westlake, OH	10/3/2011	603071	Registered
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / Cost Cutters	MINNEAPOLIS, MN	10/3/2011	603086	Registered
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / Cool Cuts 4 Kids	MINNEAPOLIS, MN	10/3/2011	603093	Registered
BARBERS HAIRSTYLING FOR MEN & WOMEN INC / City Looks	MINNEAPOLIS, MN	10/3/2011	603092	Registered
ECONO LUBE N TUNE INC	CHARLOTTE, NC	10/3/2011	603079	Registered
MAACO Franchising, Inc.	CHARLOTTE, NC	10/3/2011	603080	Registered
MARCOS FRANCHISING LLC / Standard	TOLEDO, OH	10/3/2011	603083	Registered

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
MARCOS FRANCHISING LLC / AREA REPRESENTATIVE	TOLEDO, OH	10/3/2011	603084	Registered
MEINEKE CAR CARE CENTERS INC / Meineke Co-Brand Opportunity w/Econo Lube	CHARLOTTE, NC	10/3/2011	603077	Registered
MEINEKE CAR CARE CENTERS INC	CHARLOTTE, NC	10/3/2011	603078	Registered
RPC Acquisition Corp. / Pro Cuts (Sports)	MINNEAPOLIS, MN	10/3/2011	603091	Registered
RPC Acquisition Corp. / Pro Cuts (classic)	MINNEAPOLIS, MN	10/3/2011	603094	Registered
Number of Franchise Filings: 34				

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