

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 10/10/2011 through 10/21/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN BAPTIST EXTENSION CORP	KING OF PRUSSIA, PA	10/13/2011	00622007-02	Pending
AMERICAN BAPTIST EXTENSION CORP	KING OF PRUSSIA, PA	10/12/2011	00622006-02	Pending
Number of Registration Filings: 2				

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

Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MARKET NEUTRAL VALUE FUND A CLASS	KANSAS CITY, MO	10/20/2011	00622290-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MARKET NEUTRAL VALUE FUND R CLASS	KANSAS CITY, MO	10/20/2011	00622283-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MARKET NEUTRAL VALUE FUND INVESTOR CLASS	KANSAS CITY, MO	10/20/2011	00622294-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MARKET NEUTRAL VALUE FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	10/20/2011	00622293-03	Pending-Cleared
AMERICAN CENTURY CAPITAL PORTFOLIOS INC AMERICAN CENTURY MARKET NEUTRAL VALUE FUND C CLASS	KANSAS CITY, MO	10/20/2011	00622296-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY DISCIPLINED GROWTH PLUS FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	10/20/2011	00622288-03	Pending-Cleared

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AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY CORE EQUITY PLUS FUND R CLASS	KANSAS CITY, MO	10/20/2011	00622285-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY CORE EQUITY PLUS FUND INSTITUTIONAL CLASS	KANSAS CITY, MO	10/20/2011	00622287-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY DISCIPLINED GROWTH PLUS FUND A CLASS	KANSAS CITY, MO	10/20/2011	00622295-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY CORE EQUITY PLUS FUND A CLASS	KANSAS CITY, MO	10/20/2011	00622286-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY DISCIPLINED GROWTH PLUS FUND C CLASS	KANSAS CITY, MO	10/20/2011	00622284-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY DISCIPLINED GROWTH PLUS FUND R CLASS	KANSAS CITY, MO	10/20/2011	00622292-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY CORE EQUITY PLUS FUND INVESTOR CLASS	KANSAS CITY, MO	10/20/2011	00622291-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY DISCIPLINED GROWTH PLUS FUND INVESTOR CLASS	KANSAS CITY, MO	10/20/2011	00622289-03	Pending-Cleared
AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY CORE EQUITY PLUS FUND C CLASS	KANSAS CITY, MO	10/20/2011	00622297-03	Pending-Cleared
FT 2805 CLOUD COMPUTING PORTFOLIO SERIES	WHEATON, IL	10/20/2011	00604918-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
EPIPHANY FUNDS EPIPHANY FFV STRATEGIC INCOME FUND CLASS C SHARES	FORT WORTH, TX	10/18/2011	00622118-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 737 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 9	LISLE, IL	10/18/2011	00622109-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 830 RENEWABLE & ALTERNATIVE ENERGY PORTFOLIO SERIES 14	LISLE, IL	10/18/2011	00622108-05	Pending-Cleared
NORTHERN LIGHTS FUND TR GINKGO MULTI STRATEGY FUND INVESTOR CLASS SHARES	HAUPPAUGE, NY	10/18/2011	00622120-03	Registered
NORTHERN LIGHTS FUND TR GIRALDA FUND CLASS I SHARES	HAUPPAUGE, NY	10/18/2011	00622123-03	Registered
NORTHERN LIGHTS FUND TR GIRALDA FUND MANAGER CLASS SHARES	HAUPPAUGE, NY	10/18/2011	00622124-03	Registered
NORTHERN LIGHTS FUND TR GRANT PARK MANAGED FUTURES STRATEGY FUND CLASS C	HAUPPAUGE, NY	10/18/2011	00622117-03	Registered
NORTHERN LIGHTS FUND TR SCA ABSOLUTE RETURN FUND INVESTOR SHARES	HAUPPAUGE, NY	10/18/2011	00622122-03	Registered
NORTHERN LIGHTS FUND TR SCA DIRECTIONAL FUND INVESTOR SHARES	HAUPPAUGE, NY	10/18/2011	00622121-03	Registered
SARATOGA ADVANTAGE TR JAMES ALPHA GLOBAL REAL ESTATE INVESTMENTS PORTFOLIO CLASS I SHARES	HAUPPAUGE, NY	10/18/2011	00622119-03	Registered
TIMOTHY PLAN ISRAEL COMMON VALUES FUND CLASS A	MAITLAND, FL	10/18/2011	00622111-03	Registered
TIMOTHY PLAN ISRAEL COMMON VALUES FUND CLASS C	MAITLAND, FL	10/18/2011	00622110-03	Registered
FINANCIAL INVESTORS TR GRANDEUR PEAK GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	DENVER, CO	10/14/2011	00622089-03	Registered

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Firm Name	Location	Date Received	File Number	Status
FINANCIAL INVESTORS TR GRANDEUR PEAK GLOBAL OPPORTUNITIES FUND INVESTOR CLASS	DENVER, CO	10/14/2011	00622087-03	Registered
FINANCIAL INVESTORS TR GRANDEUR PEAK INTERNATIONAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	DENVER, CO	10/14/2011	00622088-03	Registered
FINANCIAL INVESTORS TR GRANDEUR PEAK INTERNATIONAL OPPORTUNITIES FUND INVESTOR CLASS	DENVER, CO	10/14/2011	00622090-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 828 GUGGENHEIM INFLATION DEFENSE & DIVIDEND PORTFOLIO SERIES 5	LISLE, IL	10/13/2011	00622084-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 828 GUGGENHEIM GLOBAL INFRASTRUCTURE & DIVIDEND PORTFOLIO SERIES 3	LISLE, IL	10/13/2011	00622085-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 828 GUGGENHEIM GLOBAL EXPANSION & DIVIDEND PORTFOLIO SERIES 3	LISLE, IL	10/13/2011	00622086-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 828 GUGGENHEIM US HIGH HIGH DIVIDEND STRATEGY PORTFOLIO SERIS 2	LISLE, IL	10/13/2011	00622083-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 828 GUGGENHEIM US SMID HIGH DIVIDEND STRATEGY PORTFOLIO SERIS 2	LISLE, IL	10/13/2011	00622082-05	Pending-Cleared
PIMCO FUNDS PIMCO GLOBAL MULTI ASSET FUND ADMINISTRATIVE CLASS	NEWPORT BEACH, CA	10/13/2011	00621962-03	Registered
INVESTMENT MANAGERS SERIES TR TOWLE DEEP VALUE FUND	MILWAUKEE, WI	10/12/2011	00622008-03	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 3165 DIVERSIFIED EQUITY STRATEGIC ALLOCATION PORT 4Q 11 TERM 1/15/13	WHEATON, IL	10/10/2011	00621995-05	Pending-Cleared
FT 3167 DIVERSIFIED FIXED INCOME ETF PORTFOLIO SERIES 7	WHEATON, IL	10/10/2011	00621990-05	Pending-Cleared
FT 3168 ECONOMIC EXPANSION PORTFOLIO SERIES 4	WHEATON, IL	10/10/2011	00621996-05	Pending-Cleared
FT 3169 ENERGY SELECT PORTFOLIO SERIES 40	WHEATON, IL	10/10/2011	00621992-05	Pending-Cleared
FT 3169 WATER UTILITY & INFRASTRUCTURE SELECT PORTFOLIO SERIES 22	WHEATON, IL	10/10/2011	00621991-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 827 MULTIPLE ASSET PORTFOLIO SERIES 39	LISLE, IL	10/10/2011	00621994-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 827 STRATEGIC INCOME PORTFOLIO SERIES 55	LISLE, IL	10/10/2011	00621993-05	Pending-Cleared
Number of Investment Company Filings: 46				

Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
AVM RANGER FUND LP	SALT LAKE CITY, UT	10/18/2011	00622125-07	Filed
STARTDATE LABS INC	LEBANON, NH	10/13/2011	00622081-07	Filed
AMS HOLDINGS LLC	WAUKESHA, WI	10/11/2011	00621944-07	Filed
CARTHAGE ASSOC LLC	LOS ANGELES, CA	10/11/2011	00621946-07	Filed
MUTUAL ENTERTAINMENT LLC	BEVERLY HILLS, CA	10/11/2011	00621945-07	Filed
OWL CREEK SOCIALLY RESPONSIBLE INVESTMENT FUND LTD	HAMILTON,	10/10/2011	00621982-07	Filed
PLOEGER OXBO GROUP BV	LOUDON, NH	10/10/2011	00621979-07	Filed
VCHARGE INC	NEWTON, MA	10/10/2011	00621980-07	Filed
Number of Regulation D Notice Filings: 8				

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Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
1ST WATCH FRANCHISE DEVELOPMENT CO / First Watch Restaurants	BRADENTON, FL	10/20/2011	603133	Registered
Rib City Franchising, LLC / Rib City	Fort Myers, FL	10/20/2011	603131	Registered
WINDOW WORLD, INC. / WINDOW WORLD	N. Wilkesboro, NC	10/18/2011	603122	Registered
RUTHS CHRIS STEAK HOUSE FRANCHISE INC	HEATHROW, FL	10/17/2011	603129	Registered
BFK Franchise Company, LLC / Bricks 4 Kidz	St. Augustine, FL	10/14/2011	603119	Registered
Dinner Detective Production, LLC	Long Beach, CA	10/14/2011	603120	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
fro.zen.yo Franchising, LLC	Washington, DC	10/10/2011	603113	Registered
Number of Franchise Filings: 10				

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