

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/17/2011 through 10/28/2011**

<b>Securities Law Registration Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ICON OIL & GAS FUND A LP	NEW YORK, NY	10/19/2011	00622851-01	Pending
Number of Registration Filings: 1				

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

<b>Securities Law Federal Covered Security-Investment Company Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FUNDVANTAGE TR EIC VALUE FUND CLASS C	WILMINGTON, DE	10/25/2011	00622659-03	Registered
1ST TR COMBINED SERIES 383 BUILD AMERICA BONDS PORTFOLIO SERIES 44	WHEATON, IL	10/21/2011	00622928-05	Pending-Cleared
BLAIR WILLIAM FUNDS EMERGING MARKETS SMALL CAP GROWTH FUND CLASS N SHARES	CHICAGO, IL	10/21/2011	00622653-03	Registered
BLAIR WILLIAM FUNDS EMERGING MARKETS SMALL CAP GROWTH FUND INSTITUTIONAL CLASS SHARES	CHICAGO, IL	10/21/2011	00622655-03	Registered
BLAIR WILLIAM FUNDS EMERGING MARKETS SMALL CAP GROWTH FUND CLASS I SHARES	CHICAGO, IL	10/21/2011	00622652-03	Registered
BLAIR WILLIAM FUNDS LARGE CAP VALUE FUND CLASS I SHARES	CHICAGO, IL	10/21/2011	00622654-03	Registered
BLAIR WILLIAM FUNDS LARGE CAP VALUE FUND CLASS N SHARES	CHICAGO, IL	10/21/2011	00622656-03	Registered
DIVIDEND RULER COVERED CALL PORTFOLIO SERIES2011 4Q	MONUMENT, CO	10/21/2011	00622926-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
FT 3179 COVERED CALL SELECT CLOSED END PORTFOLIO SERIES 28	WHEATON, IL	10/21/2011	00622927-05	Pending-Cleared
FT 3180 DIVIDEND & INCOME PLUS CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	10/21/2011	00622921-05	Pending-Cleared
FT 3197 MLP CLOSED END FUND & ENERGY PORTFOLIO SERIES 13	WHEATON, IL	10/21/2011	00622919-05	Pending-Cleared
FT 3198 STRATEGIC INCOME CLOSED END PORTFOLIO SERIS 37	WHEATON, IL	10/21/2011	00622929-05	Pending-Cleared
FT 3199 BALANCED INCOME SELECT PORTFOLIO SERIES 22	WHEATON, IL	10/21/2011	00622924-05	Pending-Cleared
FT 3225 SENIOR LOAN & LTD DURATION PLUS CLOSED END PORTFOLIO SERIES 47	WHEATON, IL	10/21/2011	00622920-05	Pending-Cleared
FT 3240 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 32	WHEATON, IL	10/21/2011	00622922-05	Pending-Cleared
GLOBAL INFLATION GROWTH PORTFOLIO SERIS 2011 2	MONUMENT, CO	10/21/2011	00622925-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS 806 MULTINATIONAL TITANS PORTFOLIO SERIES 1	LISLE, IL	10/21/2011	00622923-05	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 INSTITUTIONAL CLASS	KANSAS CITY, MO	10/20/2011	00622293-03	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 A CLASS	KANSAS CITY, MO	10/20/2011	00622290-03	Pending-Cleared

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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
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
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 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 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 R CLASS	KANSAS CITY, MO	10/20/2011	00622292-03	Pending-Cleared

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AMERICAN CENTURY QUANTITATIVE EQUITY FUNDS AMERICAN CENTURY DISCIPLINED GROWTH PLUS FUND C CLASS	KANSAS CITY, MO	10/20/2011	00622284-03	Pending-Cleared
FORESTER FUNDS FORESTER VALUE FUND CLASS I	LAKE FOREST, IL	10/20/2011	00622896-03	Registered
FT 2805 CLOUD COMPUTING PORTFOLIO SERIES	WHEATON, IL	10/20/2011	00604918-05	Pending-Cleared
ZIEGLER LOTSOFF CAPITAL MANAGEMENT INVESTMENT TR ZLCM LONG SHORT CREDIT FUND	CHICAGO, IL	10/20/2011	00622902-03	Pending-Cleared
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

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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
1ST TR COMBINED SERIES 382 TX EX MUNICIPAL INCOME TR SERIES 271	WHEATON, IL	10/17/2011	00622848-05	Pending-Cleared
BALANCED PORTFOIO 15 MONTH SERIES 2011 4Q	MONUMENT, CO	10/17/2011	00622843-05	Pending-Cleared
DIVIDEND RULER PORTFOLIO SDERIES 2011 D	MONUMENT, CO	10/17/2011	00622842-05	Pending-Cleared
FT 3175 SELECT DSIP PORTFOLIO 4TH QUARTER 2011 SERIES	WHEATON, IL	10/17/2011	00622840-05	Pending-Cleared
FT 3175 SELECT RICHARD BERNSTEIN ADVISORS QUALITY INCOME PORTFOLIO SERIES 2	WHEATON, IL	10/17/2011	00622841-05	Pending-Cleared
FT 3177 MARCELLUS SHALE PORTFOLIO SERIES 3	WHEATON, IL	10/17/2011	00622850-05	Pending-Cleared
FT 3195 INSURED MUNICIPAL INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 7	WHEATON, IL	10/17/2011	00622849-05	Pending-Cleared
GLOBAL COVERED CALL & INCOME STRATEGIES CLOSED END PORTFOLIO 15 MONTH SERIES 2011 4Q	MONUMENT, CO	10/17/2011	00622845-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 829 GUGGENHEIM REIT PORTFOLIO SERIES 5	LISLE, IL	10/17/2011	00622839-05	Pending-Cleared
NAVELLIER TRADEWINDS INTERNATIONAL BOND PORTFOLIO SERIES 6	MONUMENT, CO	10/17/2011	00622846-05	Pending-Cleared
SENIOR VARIABLE RATE & INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2011 4Q	MONUMENT, CO	10/17/2011	00622844-05	Pending-Cleared

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
TACTICAL INCOME CLOSED END PORTFOLIO 15 MONTH SERIES 2011 4Q	MONUMENT, CO	10/17/2011	00622847-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 357 GNMA INCOME PORTFOLIO SERIES 10	OAKBROOK, IL	10/17/2011	00622724-05	Pending-Cleared
Number of Investment Company Filings: 60				

<b>Federal Covered Security-Regulation D Notice Filings Made with DFI's Securities Division</b>				
<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
BROOKWOOD CROSSROADS INVESTORS LLC	BEVERLY, MA	10/20/2011	00622895-07	Filed
DOMAIN SURGICAL INC	SALT LAKE CITY, UT	10/20/2011	00622894-07	Filed
AVM RANGER FUND LP	SALT LAKE CITY, UT	10/18/2011	00622125-07	Filed
CLAIRMAIL INC	SAN RAFAEL, CA	10/17/2011	00622765-07	Filed
CLAY COUNTY 2 WELL 3 D JOINT VENTURE	SAN ANTONIO, TX	10/17/2011	00622767-07	Filed
MORROCROFT SPECIAL OPPORTUNITY FUND 2 LP	CHARLOTTE, NC	10/17/2011	00622764-07	Filed
MORROCROFT SPECIAL OPPORTUNITY OFFSHORE FUND 2 LP	CHARLOTTE, NC	10/17/2011	00622766-07	Filed
Number of Regulation D Notice Filings: 7				

<b>Franchise Law Filings Made with DFI's Securities Division</b>				
<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
AGILE PURSUITS FRANCHISING INC / Tide Dry Cleaners	CINCINNATI, OH	10/28/2011	603151	Registered
AGILE PURSUITS FRANCHISING INC / Mr. Clean Car Wash Program	CINCINNATI, OH	10/28/2011	603152	Registered
JAZZERCISE INC	CARLSBAD, CA	10/28/2011	603150	Registered
Atlanta Bread Company International, Inc. / Atlanta Breas	Smyrna, GA	10/27/2011	603146	Registered

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<b>Legal Name / Trade Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
ARTHUR MURRAY INTERNATIONAL INC	CORAL GABLES, FL	10/27/2011	603148	Registered
Goga Studios, Inc.	Hampton, NH	10/27/2011	603149	Registered
1 800 FLOWERS.COM FRANCHISE CO INC / Conversion Program	CARLE PLACE, NY	10/24/2011	603139	Registered
Aero-Colours Inc	CHRLOTTE, NC	10/21/2011	603137	Registered
AQUA2 ACQUISITIONS INC	CHRLOTTE, NC	10/21/2011	603136	Registered
Professionals Global USA LLC	Scottsdale, AZ	10/21/2011	603138	Registered
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
INTERIM HEALTHCARE INC	SUNRISE, FL	10/17/2011	603141	Registered
RUTHS CHRIS STEAK HOUSE FRANCHISE INC	HEATHROW, FL	10/17/2011	603129	Registered
Number of Franchise Filings: 15				

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