

**All Securities Law, Franchise Law, and Take-Over Law Filings  
for 10/31/2011 through 11/11/2011**

<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>
TERRA SECURED INCOME TR INC	NEW YORK, NY	11/9/2011	00624906-01	Pending
POLONIA BANCORP INC	HUNTINGDON VALLEY, PA	11/8/2011	00624855-01	Pending
MAN LONG SHORT FUND MAN LONG SHORT FUND ADVISOR CLASS SHARES	CHICAGO, IL	11/1/2011	00624154-01	Registered
MAN LONG SHORT FUND MAN LONG SHORT FUND BROKER CLASS SHARES	CHICAGO, IL	11/1/2011	00624155-01	Registered
Number of Registration Filings: 4				

<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>
NORTHRIDGE CHURCH & CO OBLIGOR	PLYMOUTH, MI	11/2/2011	00624342-08	Pending
Number of Exemption Filings: 1				

<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>
NATIXIS FUNDS TR I HANSBERGER INTERNATIONAL FUND CLASS Y	BOSTON, MA	11/10/2011	00624885-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DFA CA INTERMEDIATE TERM MUNICIPAL BOND PORTFOLIO INSTITUTIONAL CLASS	AUSTIN, TX	11/9/2011	00624879-03	Registered
GUGGENHEIM DEFINED PORTFOLIOS SERIES 839 FLAHERTY & CRUMRINE PREFERRED PORTFOLIO SERIES 26	LISLE, IL	11/8/2011	00624844-05	Pending-Cleared
FT 3233 COVERED CALL OPPORTUNITIES CLOSED END PORTFOLIO SERIES 7	WHEATON, IL	11/4/2011	00624343-05	Pending-Cleared

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<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>
GUGGENHEIM DEFINED PORTFOLIOS SERIES 833 DIVERSIFIED INCOME WAVE PORTFOLIO SERIES 25	LISLE, IL	11/4/2011	00624344-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 833 EQUITY & INCOME PORTFOLIO OF CEFS SERIES 31	LISLE, IL	11/4/2011	00624345-05	Pending-Cleared
1ST TR COMBINED SERIES 375 TX EX MUNICIPAL INCOME TR INTERMEDIATE SERIES 4	WHEATON, IL	11/3/2011	00624293-05	Pending-Cleared
1ST TR COMBINED SERIES 384 BUILD AMERICA BONDS PORTFOLIO SERIES 45	WHEATON, IL	11/3/2011	00624294-05	Pending-Cleared
DIVIDEND ADVANTAGE PORTFOLIO SERIES 2011 4Q	MONUMENT, CO	11/3/2011	00624297-05	Pending-Cleared
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS CORE MULTI MANAGER FUND	BOSTON, MA	11/3/2011	00624226-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS GROWTH MULTI MANAGER FUND	BOSTON, MA	11/3/2011	00624227-03	Registered
FIDELITY RUTLAND SQUARE TR 2 STRATEGIC ADVISERS VALUE MULTI MANAGER FUND	BOSTON, MA	11/3/2011	00624228-03	Registered
FT 3204 DIVERSIFIED INCOME & GROWTH PORTFOLIO WINTER 2011 SERIES	WHEATON, IL	11/3/2011	00624295-05	Pending-Cleared
FT 3205 DIVIDEND STRENGTH PORTFOLIO SERIES 12	WHEATON, IL	11/3/2011	00624296-05	Pending-Cleared
GLOBAL GOLD INCOME PORTFOLIO SERIES 2011 4Q SMC PORTFOLIO	MONUMENT, CO	11/3/2011	00624292-05	Pending-Cleared
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW INTERNATIONAL OPPORTUNITIES BOND FUND CLASS I	BALTIMORE, MD	11/3/2011	00624222-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW INTERNATIONAL OPPORTUNITIES BOND FUND CLASS R	BALTIMORE, MD	11/3/2011	00624221-03	Registered

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LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW INTERNATIONAL OPPORTUNITIES BOND FUND CLASS C	BALTIMORE, MD	11/3/2011	00624223-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW INTERNATIONAL OPPORTUNITIES BOND FUND CLASS A	BALTIMORE, MD	11/3/2011	00624224-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW INTERNATIONAL OPPORTUNITIES BOND FUND CLASS FI	BALTIMORE, MD	11/3/2011	00624225-03	Registered
MASSMUTUAL PREMIER FUNDS MASSMUTUAL BARINGS GLOBAL DYNAMIC ASSET ALLOCATION FUND CLASS A	NEW YORK, NY	11/3/2011	00624291-03	Pending-Cleared
MORGAN STANLEY INSTITUTIONAL FUND INC SMALL CO GROWTH PORTFOLIO CLASS L SHARES	NEW YORK, NY	11/3/2011	00624288-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC SMALL CO GROWTH PORTFOLIO CLASS H SHARES	NEW YORK, NY	11/3/2011	00624287-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC US REAL ESTATE PORTFOLIO CLASS L SHARES	NEW YORK, NY	11/3/2011	00624290-03	Registered
MORGAN STANLEY INSTITUTIONAL FUND INC US REAL ESTATE PORTFOLIO CLASS H SHARES	NEW YORK, NY	11/3/2011	00624289-03	Registered
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 39	MONUMENT, CO	11/2/2011	00624273-05	Pending-Cleared
DESTRA INVESTMENT TR 2 DESTRA FOCUSED EQUITY FUND CLASS C	LISLE, IL	11/2/2011	00624209-03	Registered
DESTRA INVESTMENT TR 2 DESTRA PREFERRED & INCOME SECURITIES FUND CLASS C	LISLE, IL	11/2/2011	00624210-03	Registered

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DESTRA INVESTMENT TR DESTRA GLOBAL L SERIES FUND CLASS C	LISLE, IL	11/2/2011	00624206-03	Registered
DESTRA INVESTMENT TR DESTRA HIGH DIVIDEND STRATEGY FUND CLASS A	LISLE, IL	11/2/2011	00624205-03	Registered
DESTRA INVESTMENT TR DESTRA HIGH DIVIDEND STRATEGY FUND CLASS C	LISLE, IL	11/2/2011	00624203-03	Registered
DESTRA INVESTMENT TR DESTRA HIGH DIVIDEND STRATEGY FUND CLASS I	LISLE, IL	11/2/2011	00624204-03	Registered
DESTRA INVESTMENT TR DESTRA INTERNATIONAL L SERIES FUND CLASS C	LISLE, IL	11/2/2011	00624207-03	Registered
DESTRA INVESTMENT TR DESTRA US ALL CAP L SERIES FUND CLASS C	LISLE, IL	11/2/2011	00624208-03	Registered
FT 3206 GLOBAL DIVIDEND PORTFOLIO SERIES 27	WHEATON, IL	11/2/2011	00624276-05	Pending-Cleared
FT 3232 GREATER CHINA PORTFOLIO SERIES 28	WHEATON, IL	11/2/2011	00624275-05	Pending-Cleared
FT 3234 DIVIDEND & INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 6	WHEATON, IL	11/2/2011	00624277-05	Pending-Cleared
INFLATION INCOME STRATEGY PORTFOLIO SERIS 2011 3	MONUMENT, CO	11/2/2011	00624274-05	Pending-Cleared
ADVISORS SERIES TR HUBER CAPITAL EQUITY INCOME FUND INVESTOR CLASS	MILWAUKEE, WI	11/1/2011	00624269-03	Registered
ADVISORS SERIES TR HUBER CAPITAL SMALL CAP VALUE FUND INVESTOR CLASS	MILWAUKEE, WI	11/1/2011	00624270-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DFA INFLATION PROTECTED SECURITIES PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624188-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC DFA INTERNATIONAL SMALL CAP VALUE PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624180-03	Registered

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DFA INVESTMENT DIMENSIONS GROUP INC EMERGING MARKETS CORE EQUITY PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624184-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC EMERGING MARKETS VALUE PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624179-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC INTERNATIONAL CORE EQUITY PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624186-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC US CORE EQUITY 1 PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624190-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC US LARGE CAP VALUE PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624183-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC US TARGETED VALUE PORTFOLIO CLASS R10	AUSTIN, TX	11/1/2011	00624182-03	Registered
DFA INVESTMENT DIMENSIONS GROUP INC US TARGETED VALUE PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624181-03	Registered
DIMENSIONAL INVESTMENT GROUP INC DFA INTERNATIONAL VALUE PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624185-03	Registered
DIMENSIONAL INVESTMENT GROUP INC GLOBAL 25/75 PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624191-03	Registered
DIMENSIONAL INVESTMENT GROUP INC GLOBAL 60/40 PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624189-03	Registered
DIMENSIONAL INVESTMENT GROUP INC GLOBAL EQUITY PORTFOLIO CLASS R25	AUSTIN, TX	11/1/2011	00624187-03	Registered
EATON VANCE MUTUAL FUNDS TR EATON VANCE PARAMETRIC STRUCTURED ABSOLUTE RETURN FUND CLASS I SHARES	BOSTON, MA	11/1/2011	00624202-03	Registered

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FIDELITY INVESTMENT TR FIDELITY EMERGING MARKETS DISCOVERY FUND FIDELITY EMERGING MARKETS DISCOVERY FUND	BOSTON, MA	11/1/2011	00624194-03	Registered
FIDELITY INVESTMENT TR FIDELITY EMERGING MARKETS DISCOVERY FUND FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUNDCLASSC	BOSTON, MA	11/1/2011	00624197-03	Registered
FIDELITY INVESTMENT TR FIDELITY EMERGING MARKETS DISCOVERY FUND FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUNDCLASSA	BOSTON, MA	11/1/2011	00624195-03	Registered
FIDELITY INVESTMENT TR FIDELITY EMERGING MARKETS DISCOVERY FUND FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUNDCLASST	BOSTON, MA	11/1/2011	00624201-03	Registered
FIDELITY INVESTMENT TR FIDELITY EMERGING MARKETS DISCOVERY FUND FIDELITY ADVISOR EMERGING MARKETS DISCOVERY FUND INSTIT	BOSTON, MA	11/1/2011	00624199-03	Registered
FIDELITY INVESTMENT TR FIDELITY TOTAL EMERGING MARKETS FUND FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS C	BOSTON, MA	11/1/2011	00624198-03	Registered
FIDELITY INVESTMENT TR FIDELITY TOTAL EMERGING MARKETS FUND FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS A	BOSTON, MA	11/1/2011	00624193-03	Registered
FIDELITY INVESTMENT TR FIDELITY TOTAL EMERGING MARKETS FUND FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND INSTITUTIONAL	BOSTON, MA	11/1/2011	00624196-03	Registered

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FIDELITY INVESTMENT TR FIDELITY TOTAL EMERGING MARKETS FUND FIDELITY TOTAL EMERGING MARKETS FUND	BOSTON, MA	11/1/2011	00624192-03	Registered
FIDELITY INVESTMENT TR FIDELITY TOTAL EMERGING MARKETS FUND FIDELITY ADVISOR TOTAL EMERGING MARKETS FUND CLASS T	BOSTON, MA	11/1/2011	00624200-03	Registered
FT 3203 DORSEY WRIGHT RELATIVE STRENGTH DIVIDEND PORTFOLIO SERIS 3	WHEATON, IL	11/1/2011	00624325-03	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 805 PRECIOUS METALS & MINERS PORTFOLIO SERIES 1	LISLE, IL	11/1/2011	00624327-05	Pending-Cleared
HIGHLAND FUNDS 2 HIGHLAND DIVIDEND EQUITY FUND CLASS A SHARES	DALLAS, TX	11/1/2011	00624169-03	Registered
HIGHLAND FUNDS 2 HIGHLAND DIVIDEND EQUITY FUND CLASS Y SHARES	DALLAS, TX	11/1/2011	00624170-03	Registered
INVESTMENT MANAGERS SERIES TR CHARTWELL SMALL CAP VALUE FUND	MILWAUKEE, WI	11/1/2011	00624271-03	Pending-Cleared
INVESTMENT MANAGERS SERIES TR EP LATIN AMERICA FUND CLASS A	MILWAUKEE, WI	11/1/2011	00624272-03	Pending-Cleared
JPMORGAN TR 1 JPMORGAN GLOBAL NATURAL RESOURCES FUND R6 CLASS	BOSTON, MA	11/1/2011	00624313-03	Registered
JPMORGAN TR 1 JPMORGAN GLOBAL OPPORTUNITIES FUND CLASS R2	BOSTON, MA	11/1/2011	00624309-03	Registered
JPMORGAN TR 1 JPMORGAN GLOBAL OPPORTUNITIES FUND CLASS R6	BOSTON, MA	11/1/2011	00624310-03	Registered
JPMORGAN TR 1 JPMORGAN MULTI SECTOR INCOME FUND R6 CLASS	BOSTON, MA	11/1/2011	00624314-03	Registered
JPMORGAN TR 1 JPMORGAN US SMALL CO FUND R2 CLASS	BOSTON, MA	11/1/2011	00624315-03	Registered
JPMORGAN TR 1 JPMORGAN US SMALL CO FUND R6 CLASS	BOSTON, MA	11/1/2011	00624316-03	Registered

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<b>Firm Name</b>	<b>Location</b>	<b>Date Received</b>	<b>File Number</b>	<b>Status</b>
JPMORGAN TR 2 JPMORGAN JPMORGAN MID CAP GROWTH FUND R5 CLASS	BOSTON, MA	11/1/2011	00624311-03	Registered
JPMORGAN TR 2 JPMORGAN JPMORGAN MID CAP GROWTH FUND R6 CLASS	BOSTON, MA	11/1/2011	00624312-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW ABSOLUTE RETURN OPPORTUNITIES FUND CLASS R	BALTIMORE, MD	11/1/2011	00624167-03	Registered
LEGG MASON GLOBAL ASSET MANAGEMENT TR LEGG MASON BW ABSOLUTE RETURN OPPORTUNITIES FUND CLASS FI	BALTIMORE, MD	11/1/2011	00624166-03	Registered
MOTLEY FOOL FUNDS TR MOTLEY FOOL EPIC VOYAGE FUND	ALEXANDRIA, VA	11/1/2011	00624168-03	Registered
OPPENHEIMER GLOBAL HIGH YIELD FUND CLASS A SHARES	DENVER, CO	11/1/2011	00624330-03	Pending-Cleared
OPPENHEIMER GLOBAL HIGH YIELD FUND CLASS C SHARES	DENVER, CO	11/1/2011	00624329-03	Pending-Cleared
OPPENHEIMER GLOBAL HIGH YIELD FUND CLASS Y SHARES	DENVER, CO	11/1/2011	00624328-03	Pending-Cleared
PAYDEN & RYGEL INVESTMENT GROUP PAYDEN EMERGING MARKETS LOCAL BOND FUND INVESTOR CLASS	LOS ANGELES, CA	11/1/2011	00624332-03	Registered
PAYDEN & RYGEL INVESTMENT GROUP PAYDEN EMERGING MARKETS LOCAL BOND FUND ADVISER CLASS	LOS ANGELES, CA	11/1/2011	00624331-03	Registered
PRICE T ROWE REAL ASSETS FUND INC	BOSTON, MA	11/1/2011	00624317-03	Registered
SMART TR ENHANCED VALUE 2 TR 2011 SERIES K	PARSIPPANY, NJ	11/1/2011	00624326-03	Pending-Cleared
TIAA CREF FUNDS TIAA CREF GLOBAL NATURAL RESOURCES FUND PREMIER CLASS	NEW YORK, NY	11/1/2011	00624177-03	Registered
TIAA CREF FUNDS TIAA CREF GLOBAL NATURAL RESOURCES FUND RETAIL CLASS	NEW YORK, NY	11/1/2011	00624178-03	Registered

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<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>
TIAA CREF FUNDS TIAA CREF GLOBAL NATURAL RESOURCES FUND RETIREMENT CLASS	NEW YORK, NY	11/1/2011	00624176-03	Registered
TIAA CREF FUNDS TIAA CREF GLOBAL NATURAL RESOURCES FUND INSTITUTIONAL CLASS	NEW YORK, NY	11/1/2011	00624175-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL INCOME CLASS A SHARES	ST. PETERSBURG, FL	11/1/2011	00624171-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL INCOME CLASS C SHARES	ST. PETERSBURG, FL	11/1/2011	00624172-03	Registered
TRANSAMERICA FUNDS TRANSAMERICA TACTICAL INCOME CLASS I SHARES	ST. PETERSBURG, FL	11/1/2011	00624173-03	Registered
WELLS FARGO FUNDS TR WELLS FARGO ADVANTAGE GLOBAL OPPORTUNITIES FUND INSTITUTIONAL CLASS	SAN FRANCISCO, CA	11/1/2011	00624174-03	Registered
ROXBURY FUNDS ROXBURY MAR VISTA STRATEGIC GROWTH FUND INSTITUTIONAL SHARES	MINNETONKA, MN	10/31/2011	00624153-03	Registered
Number of Investment Company Filings: 97				

<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>
SPILL INC	BOSTON, MA	11/8/2011	00624843-07	Filed
HARDCORE COMPUTER INC	ROCHESTER, MN	11/4/2011	00624341-07	Filed
ALPHA ENERGY PARTNERS DRILLING PROGRAM 2011 LP	GETZVILLE, NY	11/3/2011	00624298-07	Filed
MORGAN JP ACCESS MULTI STRATEGY FUND 2	NEW YORK, NY	11/3/2011	00624299-07	Filed
VPE 2 LP	BOERNE, TX	11/1/2011	00624307-07	Filed
Number of Regulation D Notice Filings: 5				

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<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>
CANDY BOUQUET INTERNATIONAL INC	LITTLE ROCK, AR	11/11/2011	603184	Registered
AGE ADVANTAGE HOME CARE FRANCHISING INC	EI Cajon, CA	11/10/2011	603182	Registered
PCN Licensing, Inc. / Producers Choice Network	Sterling Heights, MI	11/10/2011	603181	Registered
INSPECT IT 1ST LLC	INDEPENDENCE, OH	11/8/2011	603178	Registered
America's Best Inn, Inc. / America's Best Inns; America's Best Inns & Suites; America's Best Suites	Atlanta, GA	11/7/2011	603160	Registered
TailWaggers Franchise Trio / TailWaggers Doggy Daycare	Menasha, WI	11/4/2011	603159	Registered
Kona Ice, Inc. / Kona Ice	Florence, KY	11/4/2011	603158	Registered
MOSSY OAK PROPERTIES INC	WEST POINT, MS	11/4/2011	603174	Registered
The Dentist's Choice, Inc.	Incline Village, NV	11/3/2011	603157	Registered
The Senior's Choice, Inc.	Incline Village, NV	11/3/2011	603156	Registered
5 STAR PAINTING INC	SPRINGVILLE, UT	11/3/2011	603177	Registered
BB FRANCHISING LLC / Brain Balance Centers	Jersey City, NJ	11/3/2011	603175	Registered
DIET CENTER WORLDWIDE INC	AKRON, OH	11/2/2011	603176	Registered
VFUSA, LLC / Vom Fass	Madison, WI	11/2/2011	603173	Registered
Anago Franchising, Inc.	Pompano Beach, FL	11/1/2011	603153	Registered
WINZER CORP	DALLAS, TX	11/1/2011	603172	Registered
Number of Franchise Filings: 16				

<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	