

**All Securities Law, Franchise Law, and Take-Over Law Filings
for 11/7/2011 through 11/18/2011**

Securities Law Registration Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
MARLBOROUGH SOFTWARE DEVELOPMENT HOLDINGS INC	MARLBOROUGH, MA	11/14/2011	00625264-01	Pending
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
Number of Registration Filings: 3				

Securities Law Exemption Filings Made with DFI's Securities Division				
Firm Name	Location	Date Received	File Number	Status
HSM LLC	MILWAUKEE, WI	11/7/2011	00625168-08	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
DFA INVESTMENT DIMENSIONS GROUP INC DFA WORLD EX US GOVERNMENT FIXED INCOME PORTFOLIO INSTITUTIONAL CLASS	AUSTIN, TX	11/17/2011	00625316-03	Pending-Cleared
ING MUTUAL FUNDS ING EMERGING MARKETS EQUITY FUND CLASS A	SCOTTSDALE, AZ	11/17/2011	00625311-03	Registered
ING MUTUAL FUNDS ING EMERGING MARKETS EQUITY FUND CLASS C	SCOTTSDALE, AZ	11/17/2011	00625312-03	Registered
ING MUTUAL FUNDS ING EMERGING MARKETS EQUITY FUND CLASS I	SCOTTSDALE, AZ	11/17/2011	00625314-03	Registered
ING MUTUAL FUNDS ING EMERGING MARKETS EQUITY FUND CLASS R	SCOTTSDALE, AZ	11/17/2011	00625313-03	Registered
ING MUTUAL FUNDS ING EMERGING MARKETS EQUITY FUND CLASS W	SCOTTSDALE, AZ	11/17/2011	00625315-03	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
ADVISORS CORPORATE TR NAVELLIER DIAL HIGH INCOME OPPORTUNITIES PORTFOLIO SERIES 40	MONUMENT, CO	11/15/2011	00625465-05	Pending-Cleared
BENNETT GROUP OF FUNDS BENNETT AGGRESSIVE GROWTH FUND CLASS A	WASHINGTON, DC	11/15/2011	00625164-03	Registered
BENNETT GROUP OF FUNDS BENNETT CONSERVATIVE FUND CLASS A	WASHINGTON, DC	11/15/2011	00625161-03	Registered
BENNETT GROUP OF FUNDS BENNETT GROWTH FUND CLASS A	WASHINGTON, DC	11/15/2011	00625163-03	Registered
BENNETT GROUP OF FUNDS BENNETT MODERATE FUND CLASS A	WASHINGTON, DC	11/15/2011	00625162-03	Registered
COLUMBIA FUNDS SERIES TR 2 COLUMBIA EMERGING MARKETS BOND FUND CLASS R	MINNEAPOLIS, MN	11/15/2011	00625160-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA CONVERTIBLE SECURITIES FUND CLASS W	BOSTON, MA	11/15/2011	00625159-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR COLUMBIA CONVERTIBLE SECURITIES FUND CLASS R	BOSTON, MA	11/15/2011	00625158-03	Pending-Cleared
COLUMBIA FUNDS SERIES TR I COLUMBIA BOND FUND CLASS R	BOSTON, MA	11/15/2011	00625157-03	Pending-Cleared
CONFLUENCE HARD ASSETS PORTFOLIO SERIES 2011 2	MONUMENT, CO	11/15/2011	00625466-05	Pending-Cleared
COVERED CALL & INCOME STRATEGIC CLOSED END PORTFOLIO 2 YR SERIES 2011 2	MONUMENT, CO	11/15/2011	00625463-05	Pending-Cleared
DOW VALUE 10 PORTFOLIO SERIES 2011 4Q	MONUMENT, CO	11/15/2011	00625464-05	Pending-Cleared
FT 3211 STRATEGIC DIVIDEND SELECT PORTFOLIO SERIES 3	WHEATON, IL	11/15/2011	00625460-05	Pending-Cleared
FT 3212 STRATEGIC INCOME OPPORTUNITIES CLOSED END PORTFOLIO SERIES 7	WHEATON, IL	11/15/2011	00625454-05	Pending-Cleared
FT 3213 EQUITY INCOME PORTFOLIO SERIES 32	WHEATON, IL	11/15/2011	00625462-05	Pending-Cleared
FT 3214 GLOBAL AGRICULTURE PORTFOLIO SERIES 19	WHEATON, IL	11/15/2011	00625468-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
FT 3216 GLOBAL HARD ASSETS PORTFOLIO SERIES 10	WHEATON, IL	11/15/2011	00625457-05	Pending-Cleared
FT 3217 MARKET STRENGTH ALLOCATION SELECT PORTFOLIO SERIES 3	WHEATON, IL	11/15/2011	00625469-05	Pending-Cleared
FT 3219 DEEP VALUE SUB 10 DIVIDEND PORTFOLIO SERIES 2	WHEATON, IL	11/15/2011	00625461-05	Pending-Cleared
FT 3222 MARKET STRENGTH ALLOCATION PLUS PORTFOLIO SERIES 9	WHEATON, IL	11/15/2011	00625458-05	Pending-Cleared
FT 3223 TECHNOLOGY SELECT PORTFOLIO SERIES 42	WHEATON, IL	11/15/2011	00625455-05	Pending-Cleared
FT 3268 TAX ADVANTAGED MUNICIPAL CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	11/15/2011	00625459-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 835 ZACKS INCOME ADVANTAGE STRATEGY PORTFOLIO SERIES 15	LISLE, IL	11/15/2011	00625456-05	Pending-Cleared
NUVEEN INVESTMENT FUNDS INC NUVEEN REAL ASSET INCOME FUND CLASS C	CHIGACO, IL	11/15/2011	00625155-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN REAL ASSET INCOME FUND CLASS A	CHIGACO, IL	11/15/2011	00625153-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN REAL ASSET INCOME FUND CLASS I	CHIGACO, IL	11/15/2011	00625154-03	Registered
NUVEEN INVESTMENT FUNDS INC NUVEEN REAL ASSET INCOME FUND CLASS R3	CHIGACO, IL	11/15/2011	00625156-03	Registered
STRATEGIC FOUNDATION OF GROWTH PORTFOLIO SERIES 2011 2	MONUMENT, CO	11/15/2011	00625467-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 738 GUGGENHEIM SHORT DURATION HIGH YIELD TR SERIES 10	LISLE, IL	11/14/2011	00625266-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 836 GUGGENHEIM BULLISH EQUITY PORTFOLIO SERIES 4	LISLE, IL	11/14/2011	00625268-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
GUGGENHEIM DEFINED PORTFOLIOS SERIES 836 GUGGENHEIM DEFENSE EQUITY PORTFOLIO SERIES 4	LISLE, IL	11/14/2011	00625267-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 837 GLOBAL WATER EQUITIES PORTFOLIO SERIES 21	LISLE, IL	11/14/2011	00625265-05	Pending-Cleared
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
1ST TR COMBINED SERIES 385 TX EX MUNICIPAL INCOME TR SERIES 272	WHEATON, IL	11/7/2011	00625338-05	Pending-Cleared
1ST TR COMBINED SERIES 386 BUILD AMERICA BONDS PORTFOLIO SERIES 46	WHEATON, IL	11/7/2011	00625334-05	Pending-Cleared
EQUINOX FUNDS TR ABRAHAM STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625350-03	Pending-Cleared
EQUINOX FUNDS TR CANTAB STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625351-03	Pending-Cleared
EQUINOX FUNDS TR CHESAPEAKE STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625352-03	Pending-Cleared
EQUINOX FUNDS TR CRABEL 2 PLUS STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625353-03	Pending-Cleared
EQUINOX FUNDS TR ECLIPSE STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625354-03	Pending-Cleared
EQUINOX FUNDS TR JOHN LOCKE STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625355-03	Pending-Cleared

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EQUINOX FUNDS TR MESIROW STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625356-03	Pending-Cleared
EQUINOX FUNDS TR QCM STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625357-03	Pending-Cleared
EQUINOX FUNDS TR QIM WNTN STRATEGY FUND CLASS A	OMAHA, NE	11/7/2011	00625345-05	Pending-Cleared
EQUINOX FUNDS TR QIM WNTN STRATEGY FUND CLASS I	OMAHA, NE	11/7/2011	00625344-05	Pending-Cleared
EQUINOX FUNDS TR TIVERTON STRATEGY FUND CLASS I SHARES	OMAHA, NE	11/7/2011	00625349-03	Pending-Cleared
FT 3207 MEGA CAP PORTFOLIO SERIES 21	WHEATON, IL	11/7/2011	00625325-05	Pending-Cleared
FT 3208 INTEREST RATE HEDGE PORTFOLIO SERIES 39	WHEATON, IL	11/7/2011	00625339-05	Pending-Cleared
FT 3215 GLOBAL COMMODITIES PORTFOLIO SERIES 18	WHEATON, IL	11/7/2011	00625337-05	Pending-Cleared
FT 3218 NATURAL GAS PORTFOLIO SERIES 12	WHEATON, IL	11/7/2011	00625336-05	Pending-Cleared
FT 3221 GLOBAL BOND INCOME PLUS CLOSED END PORTFOLIO SERIES 23	WHEATON, IL	11/7/2011	00625333-05	Pending-Cleared
FT 3224 GLOBAL BOND INCOME CLOSED END PORTFOLIO SERIES 3	WHEATON, IL	11/7/2011	00625335-05	Pending-Cleared
FT 3243 MUNICIPAL INCOME PLUS CLOSED END PORTFOLIO SERIES 21	WHEATON, IL	11/7/2011	00625326-05	Pending-Cleared
FT 3269 HIGH DIVIDEND EMERGING MARKETS EQUITY PORTFOLIO SERIES	WHEATON, IL	11/7/2011	00625332-05	Pending-Cleared
FT 3271 INSURED MUNICIPAL INCOME SELECT CLOSED END PORTFOLIO SERIES 33	WHEATON, IL	11/7/2011	00625340-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 834 COVERED CALL & INCOME PORTFOLIO OF CEF'S SERIES 25	LISLE, IL	11/7/2011	00625329-05	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
GUGGENHEIM DEFINED PORTFOLIOS SERIES 834 INFRASTRUCTURE & MLP PORTFOLIO OF CEF'S SERIES 11	LISLE, IL	11/7/2011	00625328-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 834 NATIONAL MUNICIPAL PORTFOLIO OF CEF'S SERIES 20	LISLE, IL	11/7/2011	00625327-05	Pending-Cleared
GUGGENHEIM DEFINED PORTFOLIOS SERIES 834 SENIOR LOAN & INCOME PORTFOLIO OF CEF'S SERIES 17	LISLE, IL	11/7/2011	00625330-05	Pending-Cleared
NORTHERN LIGHTS FUND TR ALTEGRIS FUTURES EVOLUTION STRATEGY FUND CLASS A	HAUPPAUGE, NY	11/7/2011	00625346-03	Pending-Cleared
NORTHERN LIGHTS FUND TR ALTEGRIS FUTURES EVOLUTION STRATEGY FUND CLASS I	HAUPPAUGE, NY	11/7/2011	00625347-03	Pending-Cleared
NORTHERN LIGHTS FUND TR ALTEGRIS FUTURES EVOLUTION STRATEGY FUND CLASS N	HAUPPAUGE, NY	11/7/2011	00625348-03	Pending-Cleared
NORTHERN LIGHTS FUND TR ALTEGRIS MACRO STRATEGY FUND CLASS A	HAUPPAUGE, NY	11/7/2011	00625343-05	Pending-Cleared
NORTHERN LIGHTS FUND TR CIFG MAXOPPSM FUND CLASS A SHARES	HAUPPAUGE, WI	11/7/2011	00625341-05	Pending-Cleared
NORTHERN LIGHTS FUND TR CMG ABSOLUTE RETURN STRATEGIES FUND CLASS I	HAUPPAUGE, NY	11/7/2011	00625342-05	Pending-Cleared
TACTICAL INCOME CLOSED END PORTFOLIO SERIES 2011 4	MONUMENT, CO	11/7/2011	00625331-05	Pending-Cleared
TR FOR PROFESSIONAL MANAGERS SCHOONER GLOBAL ABSOLUTE RETURN FUND	MILWAUKEE, WI	11/7/2011	00625167-03	Registered
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1034 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 27	OAKBROOK, IL	11/7/2011	00625182-05	Pending-Cleared

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Firm Name	Location	Date Received	File Number	Status
VAN KAMPEN UNIT TR MUNICIPAL SERIES 1035 INVESTMENT GRADE MUNICIPAL TR INTERMEDIATE SERIES 28	OAKBROOK, IL	11/7/2011	00625183-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1169 CONSERVATIVE INCOME ALLOCATION PORTFOLIO SERIES 10	OAKBROOK, IL	11/7/2011	00625179-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1170 ETF ALLOCATION PORTFOLIO SERIES 9	OAKBROOK, IL	11/7/2011	00625178-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1170 ETF DIVERSIFIED INCOME PORTFOLIO SERIES 7	OAKBROOK, IL	11/7/2011	00625177-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1172 BRIC OPPORTUNITY PORTFOLIO 2012 1	OAKBROOK, IL	11/7/2011	00625176-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1172 GLOBAL ALTERNATIVE ENERGY PORTFOLIO 2012 1	OAKBROOK, IL	11/7/2011	00625175-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1173 TECHNOLOGY PORTFOLIO 2012 1	OAKBROOK, IL	11/7/2011	00625174-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1174 NEW WORLD LEADERS PORTFOLIO SERIES 4	OAKBROOK, IL	11/7/2011	00625173-05	Pending-Cleared
VAN KAMPEN UNIT TR SERIES 1175 DEFENSIVE EQUITY & INCOME PORTFOLIO SERIES 2	OAKBROOK, IL	11/7/2011	00625172-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 358 INVESTMENT GRADE INCOME TR 7PLUS YEAR SERIES 12	OAKBROOK, IL	11/7/2011	00625181-05	Pending-Cleared
VAN KAMPEN UNIT TR TAXABLE INCOME SERIES 359 INVESTMENT GRADE INCOME TR 7PLUS YEAR SERIES 13	OAKBROOK, IL	11/7/2011	00625180-05	Pending-Cleared
Number of Investment Company Filings: 87				

**All Securities Law, Franchise Law, and Take-Over Law Filings
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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
MACROSOLVE INC	TULSA, OK	11/15/2011	00625446-07	Filed
MURVIN & MEIER OIL CO 2011 6	BARRINGTON, IL	11/15/2011	00625448-07	Filed
PACIFIC WEST REAL ESTATE OPPORTUNITY FUND LLC	BAINBRIDGE ISLAND, WA	11/15/2011	00625447-07	Filed
RUSSELL INSTITUTIONAL FUNDS LLC RUSSELL CORE BOND FUND	SEATTLE, WA	11/15/2011	00625449-07	Filed
RUSSELL INSTITUTIONAL FUNDS LLC RUSSELL INTERNATIONAL EQUITY FUND	SEATTLE, WA	11/15/2011	00625450-07	Filed
RUSSELL INSTITUTIONAL FUNDS LLC RUSSELL LARGE CAP US EQUITY FUND	SEATTLE, WA	11/15/2011	00625452-07	Filed
RUSSELL INSTITUTIONAL FUNDS LLC RUSSELL QUANTITATIVE US EQUITY FUND	SEATTLE, WA	11/15/2011	00625451-07	Filed
RUSSELL INSTITUTIONAL FUNDS LLC RUSSELL SMALL CAP US EQUITY FUND	SEATTLE, WA	11/15/2011	00625453-07	Filed
BELL MULTIWELL JOINT VENTURE	PLANO, TX	11/14/2011	00625262-07	Filed
ID WATCHDOG INC	CAYMAN ISLANDS,	11/14/2011	00625259-07	Filed
TEGEAN FUND LP	NEW YORK, NY	11/14/2011	00625261-07	Filed
VARDEN PACIFIC OPPORTUNITY PARTNERS 1 LP	SAN FRANCISCO, CA	11/14/2011	00625260-07	Filed
INTRONETWORKS INC	MONTECITO, CA	11/11/2011	00625185-07	Filed
MIRUS OPPORTUNITY FUND LLC	NEW YORK, NY	11/11/2011	00625184-07	Filed
MINERVA ROCKDALE E & P LLC	MCQUEENEY, TX	11/10/2011	00625007-07	Filed
OWL CREEK ASIA FUND LTD	HAMILTON HM 08,	11/10/2011	00625008-07	Filed
PRE FLIGHT PARTNERS LLC	NEW YORK, NY	11/10/2011	00625009-07	Filed
SPILL INC	BOSTON, MA	11/8/2011	00624843-07	Filed
COMPAGNIE DE ST GOBAIN	COURBEVOIE,	11/7/2011	00625320-07	Filed
EAGLE CREEK SOUTH PROSPECT	HENDERSONVILL E, TN	11/7/2011	00625317-07	Filed
IBG LLC	GREENWICH, CT	11/7/2011	00625165-07	Filed
MIKROBEX INC	FRIDLEY, MN	11/7/2011	00625318-07	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
UVALDE ASSOC LLC	LOS ANGELES, CA	11/7/2011	00625319-07	Filed
Number of Regulation D Notice Filings: 23				

Franchise Law Filings Made with DFI's Securities Division				
Legal Name / Trade Name	Location	Date Received	File Number	Status
VICTORY LANE QUICK OIL CHANGE INC	ANN ARBOR, MI	11/18/2011	603202	Registered
Kahala Franchising, L.L.C. / Great Steak & Potato Company and/or Great Steak & Potato	Scottsdale, AZ	11/17/2011	603197	Registered
Kahala Franchising, L.L.C. / Cold Stone Creamery	Scottsdale, AZ	11/15/2011	603196	Registered
Go Yo!	Boynton Beach, FL	11/14/2011	603195	Registered
INFINIUM REALTY GROUP INC / Help-U-Sell Real Estate	SARASTOA, FL	11/13/2011	603187	Registered
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
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	